



# Program Management Handbook

Office for Domestic Preparedness



Office of State and Local Government  
Coordination and Preparedness



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## Homeland Security

### FOREWORD

The Office for Domestic Preparedness (ODP) has developed the “ODP Program Management Handbook” to provide practical assistance for strengthening State, local, and tribal homeland security programs. The guidelines and supplemental resources contained within the Handbook are not a mandated management approach intended to supplant existing systems and processes that are effective. Instead, the Handbook is intended to help administrators manage multiple homeland security-related initiatives and programs. It can also be used as a guide for developing program management work plans, a tool for gauging existing program management processes and performance, and a guide for developing employee performance plans.

The Handbook was developed by Federal, State, and local officials involved in homeland security in response to key findings from the Department of Homeland Security’s (DHS) Task Force on State and Local Homeland Security Funding regarding the management of grants. It provides program management resources for:

- Homeland security program administrators at State and local levels who oversee holistic homeland security programs (e.g., program administrators within the State Administrative Agency (SAA) and designated Urban Areas), and
- Managers or points of contact throughout the State who are directly responsible for activities associated with planning, equipment, training, and exercises.

The Handbook is being disseminated as homeland security administrators face increasing responsibilities from national preparedness initiatives such as the National Incident Management System (NIMS), the National Response Plan (NRP), and the National Preparedness Goal. Together, these initiatives form a common approach and establish a shared commitment among Federal, State, local, and tribal governments and the private sector to strengthen our Nation’s preparedness by building effective capabilities to prevent, protect against, respond to, and recover from terrorist attacks, major disasters, and other emergencies. The program management fundamentals outlined in this Handbook will support the management of core elements that are common throughout these initiatives—planning,



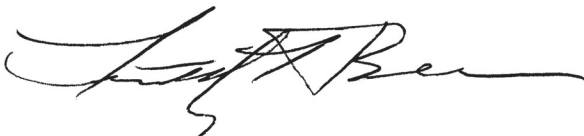
equipment, training, and exercises. Successful implementation of these initiatives ultimately depends on robust collaboration and an integrated approach that effectively coordinates the capabilities and resources of various agencies, organizations, and individuals from many tiers of public and private sectors.

State, local, and tribal homeland security administrators and managers can demonstrate an integrated approach through sound management of homeland security programs and initiatives that involves:

- Applying the principles of unified command and adopting a systems-based approach to preparedness;
- Strengthening the network and collaborative efforts between key individuals, emergency responders, and other stakeholders who impact or are affected by homeland security, including the private sector;
- Organizing an effort to ensure the sustainability of homeland security programs in the long-term; and
- Embracing a proactive approach for measuring homeland security program management efforts.

Sound program management will help us develop, coordinate, and maintain the capabilities that will make our nation better prepared to prevent, protect against, respond to, and recover from terrorist attacks, major disasters, and other emergencies.

ODP will rely on the program administrators within each SAA and Urban Area to distribute this Handbook to key stakeholders throughout the State and Urban Area. To support these dissemination efforts, ODP has developed a Dissemination Tool Kit which outlines the steps necessary to distribute the Handbook to state and local stakeholders.



Timothy L. Beres  
Director  
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# ABOUT THE HANDBOOK

## Guidelines and Work Plans

The guidelines within this Handbook should serve as a resourceful tool for building and improving management frameworks through which homeland security-related goals and objectives can be achieved. Each set of guidelines outlines a series of suggested practices for developing and enhancing program management abilities. Each suggested practice is supported by a set of activities. The activities have been written in checklist format so that managers or points of contact can easily keep track of activity completion.

Beside each guideline page is a work plan page on which the manager or point of contact can track information regarding activity completion. The types of information that can be tracked with the work plan include the following:

- “POC Responsible for Completion”: this field refers to a point of contact who should be designated as responsible for completing the activity
- “Complete by”: this field refers to a date that the program manager or point of contact should set for activity completion
- “Other Notes”: this field refers to other notes that the program manager or point of contact may want to record regarding the activity

The following page illustrates the format of the guidelines and work plan pages and highlights the features mentioned above.

## Calendar

Each set of guidelines includes a working calendar. The calendar consists of monthly templates which allow the user to create and track program milestones and deadlines for each month.

## Resources

Each set of guidelines includes a list of resources available to support the program manager or point of contact. The resource lists provide access information and a short description of the support resources available from ODP and other organizations.

Each set of guidelines also includes sample planning documents and templates that can be used to help implement the guidelines.

## Glossary

The glossary defines key terms and acronyms that have been used throughout the Handbook. Terms have been defined within the context of their use in the Handbook.



# GUIDELINES SNAPSHOT

## PROGRAM ADMINISTRATOR GUIDELINES

### II. Communicating with program stakeholders

To maintain regular communication with key program stakeholders, it is suggested that the administrator develop and document a communication plan. (Refer to the Resources section for sample planning documents)

#### STEP 1

- ☐ **Identify a central point of contact to develop and document the communication plan**

#### STEP 2

- ☐ **Establish communication objectives, e.g.:**

- ✓ To disseminate and explain information bulletins from ODP
- ✓ To announce state or regional conferences
- ✓ To review program performance
- ✓ To share information with Federal program POCs
- ✓ To solicit feedback from ODP (e.g., feedback on After Action Reports)

#### STEP 3

- ☐ **Develop and document a plan for communicating with program stakeholders**

- ☐ Identify key stakeholders who should be included in the plan

Use these as checklists to keep track of activity completion

## PROGRAM ADMINISTRATOR GUIDELINES

### II. Communicating with program stakeholders

Keep track of other notes relating to the activity here

POC Responsible for Completion

Complete by:

Other Notes

#### STEP 1

Assign a person responsible for this activity here

Record a due date here

#### STEP 2

#### STEP 3





# PROGRAM ADMINISTRATOR

## PREFACE

The **Homeland Security Administrator Guidelines** are designed for administrators at the State, local, and tribal levels (e.g., the SAA and UASI program administrators) who administer homeland security funds and oversee the holistic implementation of homeland security programs and initiatives. The guidelines are not intended to supplant existing program management systems that are effective. Their purpose is to serve as a resourceful tool for building and improving management frameworks through which homeland security-related goals and objectives can be achieved. The guidelines outline 11 suggested practices for developing and enhancing program management abilities to help accomplish the following responsibilities:

- Apply the goals and objectives of the State/Urban Area Homeland Security Strategy throughout homeland security programs and initiatives;
- Identify and coordinate with key stakeholders—including private sector partners—to effectively accomplish the planning, equipment, training, and exercise-related activities needed to implement homeland security programs and initiatives;
- Manage a strategic budget and staffing plan;
- Identify alternative resources available to ensure long-term sustainability of homeland security programs and initiatives; and
- Measure the performance toward achieving the goals and objectives of the State/Urban Area Homeland Security Strategy.

Each suggested practice is supported by a set of activities. It is recommended that the user designate a point of contact responsible for completing the activities. It is also recommended that the user create a calendar with milestones and deadlines for activity completion. The Handbook includes a list of helpful resources available from ODP. **Please consult the glossary for definitions of terms and acronyms used throughout the Handbook.**



# **PROGRAM ADMINISTRATOR GUIDELINES**

## **ADMINISTRATOR GUIDELINE SECTIONS**

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**III. Ensuring coordination between the Senior Advisory Committee, Urban Area Working Group, planning, equipment, training, and exercise working groups, and other homeland security-related working groups ..... Admin-14**

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## **PROGRAM ADMINISTRATOR GUIDELINES**

### **I. Identifying program stakeholders**

To ensure that the program involves key stakeholders from all aspects of homeland security, the administrators should identify all stakeholders who have a direct or indirect impact on the homeland security program. (Refer to the Resources section for sample planning documents)

#### **STEP 1**

- ☐ **Create a database to maintain homeland security program stakeholder information**
  - ☐ Identify a point of contact responsible for maintaining the database on a regular basis
  - ☐ Maintain the following types of stakeholder information:
    - ✓ Name and contact information (e.g., mailing address, email address, phone number, administrative assistant phone number, if applicable)
    - ✓ Area of expertise, if applicable
    - ✓ Capability or service offering as relevant to homeland security
    - ✓ Homeland security activities in which the stakeholder should be involved
    - ✓ Record of homeland security activities in which the stakeholder has been involved
    - ✓ Types of information the stakeholder should receive regarding homeland security
    - ✓ Record of homeland security information the stakeholder has received

#### **STEP 2**

- ☐ **Identify stakeholders who have direct involvement with homeland security program implementation**
  - ☐ Compile stakeholder lists from planning, equipment, training, and exercise POCs
  - ☐ Create a list of administrative stakeholders with direct program involvement, e.g.:
    - ✓ Key financial staff from the Federal, State, local, and tribal levels, e.g.:
      - Financial managers/accountants
      - Auditors
      - Grant administrators who administer other grant programs that complement the homeland security program (e.g., CDC, HRSA, FEMA, DOT, DOE, USDA grants, etc.)
    - ✓ Procurement officers
    - ✓ Public information officers within the SAA office or agency who handle FOIA and press inquiries jointly with the SAA and their staff
    - ✓ Homeland security administrators and deputies from the Federal, State, local, and tribal levels
  - ☐ Create a list of operational stakeholders with direct program involvement, e.g.:
    - ✓ Federal, State, local, and tribal planning, equipment, training, and exercise POCs

**PROGRAM ADMINISTRATOR GUIDELINES**

**I. Identifying program stakeholders**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			

## PROGRAM ADMINISTRATOR GUIDELINES

### I. Identifying program stakeholders

#### STEP 3

##### ☐ **Identify Federal, State, local, and tribal stakeholders from first responder disciplines**

- ☐ Consider disciplines such as the following (note: this list is not comprehensive):
  - ✓ Agriculture
  - ✓ Emergency management
  - ✓ Emergency medical service
  - ✓ Fire service
  - ✓ Government administrative
  - ✓ Hazardous materials
  - ✓ Health care
  - ✓ Law enforcement
  - ✓ Military
  - ✓ Public communications
  - ✓ Public health
  - ✓ Public works
- ☐ For each discipline, group stakeholders according to categories such as the following:
  - ✓ Head officials of Federal, State, local, and tribal agencies, departments, organizations, etc., e.g.:
    - Agencies, departments or organizations such as the FBI, National Guard, Coast Guard, Immigrations and Customs, Intelligence Fusion Center, State Police, State Emergency Management Agency, State Agriculture Agency, State Health Office, County Health Office, Victims Services Office
  - ✓ Program and/or operational managers with Federal, State, local, and tribal agencies, departments, organizations, etc.
  - ✓ Administrative POCs with Federal, State, local, and tribal agencies, departments, organizations, etc.
  - ✓ First responder POCs with Federal, State, local, and tribal agencies, departments, organizations, etc.
- ☐ For each stakeholder, maintain the following types of information:
  - ✓ Name and contact information (e.g., mailing address, email address, phone number, administrative assistant phone number, if applicable)
  - ✓ Area of expertise, if applicable
  - ✓ Capability or service offering as relevant to homeland security
  - ✓ Homeland security activities in which the stakeholder should be involved
  - ✓ Record of homeland security activities in which the stakeholder has been involved
  - ✓ Types of information the stakeholder should receive regarding homeland security
  - ✓ Record of homeland security information the stakeholder has received



**PROGRAM ADMINISTRATOR GUIDELINES**

**I. Identifying program stakeholders**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 3</b>			

## **PROGRAM ADMINISTRATOR GUIDELINES**

### **I. Identifying program stakeholders**

#### **STEP 4**

- ☐ **Identify public officials who impact or are affected by homeland security activities at the Federal, State, local, and tribal levels**
  - ☐ For each public official, maintain the following types of information:
    - ✓ Name and contact information (e.g., mailing address, email address, phone number, administrative assistant phone number, if applicable)
    - ✓ Homeland security activities to which the public official should be invited or in which the public official should be involved
    - ✓ Record of homeland security activities to which the public official has been invited or in which the public official has been involved
    - ✓ Types of information the public official should receive regarding homeland security
    - ✓ Record of homeland security information the public official has received

#### **STEP 5**

- ☐ **Identify important stakeholders from the private sector**
  - ☐ Consider the following types of private sector stakeholders:
    - ✓ Private sector leaders
    - ✓ Private sector industry POCs
    - ✓ Private sector enterprise POCs
    - ✓ Other important private sector stakeholders (e.g., convention center staff, security staff, hospitality staff)
  - ☐ For each stakeholder, maintain the following types of information:
    - ✓ Name and contact information (e.g., mailing address, email address, phone number, administrative assistant phone number, if applicable)
    - ✓ Area of expertise, if applicable
    - ✓ Capability or service offering as relevant to homeland security
    - ✓ Homeland security activities in which the stakeholder should be involved
    - ✓ Record of homeland security activities in which the stakeholder has been involved
    - ✓ Types of information the stakeholder should receive regarding homeland security
    - ✓ Record of homeland security information the stakeholder has received

**PROGRAM ADMINISTRATOR GUIDELINES**

**I. Identifying program stakeholders**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 4</b>			
<b>STEP 5</b>			

## **PROGRAM ADMINISTRATOR GUIDELINES**

### **I. Identifying program stakeholders**

#### **STEP 6**

- ☐ **Identify stakeholders from private volunteer organizations, academia, non-governmental organizations, and Federally sponsored volunteer programs, e.g.:**
  - ☐ Consider the following types of private volunteer organizations, academia, non-governmental organizations, and Federally sponsored volunteer programs:
    - ✓ Americorps
    - ✓ Citizen Corps
    - ✓ Civil Air Patrol
    - ✓ Community and faith-based
    - ✓ Red Cross
    - ✓ Schools and universities
    - ✓ Senior Corps
  - ☐ For each stakeholder, maintain the following types of information:
    - ✓ Name and contact information (e.g., mailing address, email address, phone number, administrative assistant phone number, if applicable)
    - ✓ Area of expertise, if applicable
    - ✓ Capability or service offering as relevant to homeland security
    - ✓ Homeland security activities in which the stakeholder should be involved
    - ✓ Record of homeland security activities in which the stakeholder has been involved
    - ✓ Types of information the stakeholder should receive regarding homeland security
    - ✓ Record of homeland security information the stakeholder has received

#### **STEP 7**

- ☐ **Update the stakeholder database regularly as new information becomes available**

**PROGRAM ADMINISTRATOR GUIDELINES**

**I. Identifying program stakeholders**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 6</b>			
<b>STEP 7</b>			

## **PROGRAM ADMINISTRATOR GUIDELINES**

### **II. Communicating with program stakeholders**

To maintain regular communication with key program stakeholders, the administrators should develop and document a communication plan. (Refer to the Resources section for sample planning documents)

#### **STEP 1**

- ☐ **Identify a central point of contact to develop and document the communication plan**

#### **STEP 2**

- ☐ **Review NIMS concepts and principles for managing communications and information**

#### **STEP 3**

- ☐ **Establish communication objectives, e.g.:**
  - ✓ To disseminate and explain information bulletins from ODP
  - ✓ To announce State or regional conferences
  - ✓ To review program performance
  - ✓ To share information with Federal POCs
  - ✓ To solicit feedback from ODP (e.g., feedback on After Action Reports)

#### **STEP 4**

- ☐ **Develop and document a plan for communicating with program stakeholders**
  - ☐ Identify key stakeholders who should be included in the plan
  - ☐ Identify a central point of contact responsible for responding to inquiries
  - ☐ Determine an optimal method for communication, e.g.:
    - ✓ Homeland security program newsletter or mailings
    - ✓ SAA website
    - ✓ Stakeholder and/or partner organization websites
    - ✓ State or regional conferences
    - ✓ Conference calls
    - ✓ Email
    - ✓ Presentations at working group meetings
  - ☐ Establish a schedule for regular and frequent communication

#### **STEP 5**

- ☐ **Develop a plan for communicating with the press/media/public**
  - ☐ Identify a central point of contact responsible for responding to press/media inquiries
  - ☐ Establish FOIA guidelines for the release of homeland security grant-related information
  - ☐ Coordinate with planning, equipment, training, and exercise POCs to centralize responses to press/media inquiries
  - ☐ Establish a pre-identified joint information center
  - ☐ Prepare procedures for communicating with the Limited English Proficient (LEP) population, to include inquiries from LEP victims, defendants, and witnesses of homeland security events

**PROGRAM ADMINISTRATOR GUIDELINES**

**II. Communicating with program stakeholders**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			
<b>STEP 4</b>			
<b>STEP 5</b>			



## **PROGRAM ADMINISTRATOR GUIDELINES**

### **III. Ensuring coordination between the Senior Advisory Committee, Urban Area Working Group(s), planning, equipment, training, and exercise working groups, and other homeland security-related working groups (this guideline is applicable for State level administrators)**

To achieve and sustain collaborative program planning, implementation, and evaluation, as well as a cross-disciplinary, cross-functional, and multi-jurisdictional approach, the administrator within the SAA should develop a mechanism to ensure strong communication and coordination between the Senior Advisory Committee, Urban Area Working Group(s), planning, equipment, training, and exercise working groups, and other homeland security-related working groups.

#### **STEP 1**

- ☐ **Identify and document the responsibilities of each working group**
  - ☐ Identify points of contact from the Senior Advisory Committee, Urban Area Working Group(s), planning, equipment, training, and exercise working groups, and other homeland security-related working groups to maintain regular communication
    - ✓ For example, for “other homeland security-related working groups,” identify the point of contact from regional transportation security working groups, if applicable
  - ☐ Indicate where specific responsibilities need to be coordinated and how that will be accomplished

#### **STEP 2**

- ☐ **Determine the authorities of the working groups**
  - ☐ Document and communicate the authorities of the Senior Advisory Committee, the Urban Area Working Group(s), the planning, equipment, training, and exercise working groups, and other homeland security-related working groups
  - ☐ Document and communicate decision-making processes

#### **STEP 3**

- ☐ **Develop a plan for regular communication between the working groups**
  - ☐ Ensure that the Senior Advisory Committee and Urban Area Working Group(s) include members also involved with the planning, equipment, training, and exercise working groups and other homeland security-related working groups
  - ☐ Determine the frequency of meetings and other communications between all the working groups
  - ☐ Establish policies and procedures for achieving those objectives

## PROGRAM ADMINISTRATOR GUIDELINES

**III. Ensuring coordination between the Senior Advisory Committee, Urban Area Working Group(s), planning, equipment, training, and exercise working groups, and other homeland security-related working groups (this guideline is applicable for State level administrators)**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			

## **PROGRAM ADMINISTRATOR GUIDELINES**

### **IV. Guiding maintenance of the State/Urban Area Homeland Security Strategy**

To ensure that the State/Urban Area Homeland Security Strategy is updated on a regular basis in order to reflect the current preparedness atmosphere, the administrators should develop a timeframe and process for updating the Strategy.

#### **STEP 1**

- ☐ **Establish a timeframe for updating the State/Urban Area Homeland Security Strategy**
  - ☐ Understand ODP-required timeframes for updating the State/Urban Area Homeland Security Strategy
  - ☐ Establish a schedule for reviewing and updating the State/Urban Area Homeland Security Strategy
  - ☐ Document and communicate the schedule to program stakeholders

#### **STEP 2**

- ☐ **Establish a process to update the State/Urban Area Homeland Security Strategy**
  - ☐ Identify a central point of contact with responsibility for ensuring the Strategy is updated on a regular basis
  - ☐ Identify and understand the ODP, State, local, and tribal approval processes and requirements for updating the State/Urban Area Homeland Security Strategy
  - ☐ Contact ODP Preparedness Officers and identify available guidance and recommended processes for updating the State/Urban Area Homeland Security Strategy goals and objectives, e.g.:
    - ✓ Guidance documents
    - ✓ Available Technical Assistance, if applicable
    - ✓ Contracted assistance
  - ☐ Identify key program stakeholders who should be involved in the process
  - ☐ Establish procedures for updating the Strategy, e.g.:
    - ☐ Conduct an assessment of homeland security needs
      - ☐ Evaluate recent State, local, and tribal assessments to identify risks and threats
      - ☐ Identify the impact of programmatic policies, requirements, standards, and regulations on the homeland security program
        - ☐ Identify any mandated or recommended activities from national policies or initiatives (e.g., NIMS, NRP, National Preparedness Goal-related activities)
      - ☐ Review the needs assessments, approaches, and budget priorities for planning, equipment, training, and exercises
      - ☐ Review past homeland security program performance evaluation results and performance gaps

#### **STEP 3**

- ☐ **Update the Strategy goals and objectives and submit for approval**
- ☐ **Communicate the updated State/Urban Area Homeland Security Strategy goals and objectives to program stakeholders, as applicable**

**PROGRAM ADMINISTRATOR GUIDELINES**

**IV. Guiding maintenance of the State/Urban Area Homeland Security Strategy**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			

## PROGRAM ADMINISTRATOR GUIDELINES

### V. Developing overall homeland security program priorities

To ensure progress toward meeting the goals and objectives of the State/Urban Area Homeland Security Strategy and to improve the implementation of the homeland security program, the administrators should develop and document program priorities. (Note: these priorities are to aid in management planning and should not be confused with the National Priorities.)

#### STEP 1

☐ **Establish a timeframe for developing overall program priorities**

- ☐ Include milestones to track progress in developing program priorities

#### STEP 2

☐ **Design and conduct a strategic planning session to identify priorities**

- ☐ Ensure the participation of key stakeholders from the Federal, State, local, and tribal levels, including planning, equipment, training, and exercise program POCs

#### STEP 3

☐ **Review overall homeland security program needs**

- ☐ Review the goals and objectives of the State/Urban Area Homeland Security Strategy
- ☐ Evaluate recent State, local, and tribal assessments to identify risks, threats, and current efforts to address strategic priorities
- ☐ Review programmatic policies, requirements, standards, and regulations that impact the program
- ☐ Identify any mandated or recommended activities from national policies or initiatives (e.g., NIMS, NRP, National Preparedness Goal-related activities and others), e.g.:
  - ✓ Strengthening information sharing and collaboration capabilities, in addition to addressing other National Priorities
  - ✓ Strengthening public/private partnerships for prevention, protection, response, and recovery
- ☐ Review the program needs assessments, program approaches, and budget priorities from planning, equipment, training, and exercise programs
- ☐ Review past homeland security program performance evaluation results and performance gaps in comparison with the State / Urban Area Homeland Security Strategy goals and objectives

#### STEP 4

☐ **Based on the review of overall program needs, develop and document overall program priorities to help ensure progress toward meeting the goals and objectives of the State/Urban Area Homeland Security Strategy and to improve the implementation of the homeland security program, e.g.:**

- ✓ Address homeland security program performance gaps
- ✓ Align the goals and / or objectives of the State / Urban Area Homeland Security Strategy with the National Priorities
- ✓ Develop and implement strategic approaches for planning, equipment, training, and exercise programs in order to meet the goals and objectives of the State / Urban Area Homeland Security Strategy
- ✓ Enhance the coordination and communication between planning, equipment, training, and exercise POCs
- ✓ Make investments to ensure long-term homeland security program sustainability

**PROGRAM ADMINISTRATOR GUIDELINES**

**V. Developing overall homeland security program priorities**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			
<b>STEP 4</b>			

## **PROGRAM ADMINISTRATOR GUIDELINES**

### **VI. Creating and managing the program budget**

When creating and managing the budget, the administrators should review and document the State/Urban Area Homeland Security Strategy goals and program priorities to which funding can be applied. The administrators should coordinate with planning, equipment, training, and exercise POCs to ensure sound financial management and track expenditures.

#### **STEP 1**

- ☐ ***Establish a timeframe for developing the budget***

#### **STEP 2**

- ☐ ***Review the goals and objectives of the State/Urban Area Homeland Security Strategy***

#### **STEP 3**

- ☐ ***Identify overall program priorities***
  - ☐ Review the goals and objectives of the State/Urban Area Homeland Security Strategy
  - ☐ Identify funding needed to ensure long-term program sustainability

#### **STEP 4**

- ☐ ***Identify all potential funding sources available to support and sustain the program and understand how each funding source is awarded (e.g., according to a formula or on a competitive basis)***
  - ✓ Federal funding (e.g., ODP, CDC, HRSA, FEMA, DOT, DOE, USDA)
  - ✓ State funding
  - ✓ Local funding
  - ✓ Public/Private partner funding (e.g., corporations and foundations)

#### **STEP 5**

- ☐ ***Develop the budget***
  - ☐ Develop best and worst case budgets in advance of funding awards based on the State / Urban Area Homeland Security Strategy and planning, equipment, training, and exercise priorities in addition to any available guidance for developing program budgets
  - ☐ Make adjustments for the final budget based on actual awards and other available funding
  - ☐ Communicate the budget allocations to planning, equipment, training, and exercise POCs

**PROGRAM ADMINISTRATOR GUIDELINES**

**VI. Creating and managing the program budget**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			
<b>STEP 4</b>			
<b>STEP 5</b>			



## **PROGRAM ADMINISTRATOR GUIDELINES**

### **VI. Creating and managing the program budget**

#### **STEP 6**

##### **☐ *Identify and understand financial management requirements***

- ☐ Work with procurement officers, financial managers/accountants, auditors, and grant administrators and identify financial management requirements, e.g.:
  - ✓ Applicable OMB circulars
  - ✓ OJP OC Financial Guide
  - ✓ Procurement laws and regulations
  - ✓ State or local financial management requirements
  - ✓ Certified assurances
- ☐ Develop and disseminate a schedule to subgrantees that shows all reporting requirements, timeframes, reporting agencies, etc., e.g.:
  - ✓ Required program reports
  - ✓ Required financial reports
  - ✓ Grant certifications and assurances
  - ✓ Funding deadlines and timeframes
  - ✓ The impact of delinquency on future funding and payments

#### **STEP 7**

##### **☐ *Track the funding to and monitor the financial management of subgrantees***

- ☐ Develop a database/spreadsheet to track the following information regarding funding to subgrantees:
  - ✓ Subgrantee POC responsible for managing the funds
  - ✓ Amount of funding sub-award
  - ✓ Source of funding sub-award (e.g., SHSP, LETPP, UASI, etc.)
  - ✓ Allowable funding expenditures
  - ✓ Conditions or restrictions on expenditures
  - ✓ Expenditures and draw down against funding source (e.g., procurements)
- ☐ Review completed program reports on a regular basis to ensure that expenditures have been tied to program performance and agreed upon deliverables/projects
- ☐ Review completed financial reports on a regular basis to ensure financial management compliance and appropriate allocation of funds to agreed upon deliverables/projects

**PROGRAM ADMINISTRATOR GUIDELINES**

**VI. Creating and managing the program budget**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 6</b>			
<b>STEP 7</b>			

## **PROGRAM ADMINISTRATOR GUIDELINES**

### **VI. Creating and managing the program budget**

#### **STEP 8**

##### **☐ *Coordinate financial management workshops for planning, equipment, training, and exercise POCs***

- ☐ Identify and invite key staff to plan and lead the workshop, e.g.:
  - ✓ Procurement officers
  - ✓ Financial managers/accountants
  - ✓ Auditors
  - ✓ Grant administrators
- ☐ Provide education on the following types of topics:
  - ✓ Complying with auditing/monitoring/procurement requirements, e.g.:
    - Applicable OMB circulars
    - OJP OC Financial Guide
    - Procurement laws and regulations
    - State or local financial management requirements
    - Certified assurances
  - ✓ Using efficient reporting practices
  - ✓ Using financial management resources
  - ✓ Identifying and understanding legislative and/or political factors that may affect financial management, e.g.:
    - Agency award schedules
    - Election cycles
    - Pending legislation
    - Pending standards
    - Schedules of legislative sessions

**PROGRAM ADMINISTRATOR GUIDELINES**

**VI. Creating and managing the program budget**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 8</b>			

## **PROGRAM ADMINISTRATOR GUIDELINES**

### **VII. Developing the program staffing plan**

To ensure that all program staffing needs are met, the administrators should identify the workload and available resources and develop and document a staffing plan.

#### **STEP 1**

- ☐ ***Establish a timeframe for developing or updating the program staffing plan***

#### **STEP 2**

- ☐ ***Assess the homeland security program workload***
  - ☐ Identify the administrative and operational workloads required to meet the goals and objectives of the State/Urban Area Homeland Security Strategy in consultation with the planning, equipment, training, and exercise POCs

#### **STEP 3**

- ☐ ***Identify staff and skills needed to sustain the program***
  - ☐ Identify administrative staff and skills needed to support the overall program including subject matter experts, grants administrative staff, and support staff
  - ☐ Coordinate with the planning, equipment, training, and exercise POCs and identify staff and skills needed
  - ☐ Determine if the same staff can support multiple activities
  - ☐ Consider the need for staff with security clearances

#### **STEP 4**

- ☐ ***Review grant guidance from all allowable grant sources for allowable staffing expenditures***
  - ☐ For each grant, identify allowable spending for personnel (FTE and/or contractual)
  - ☐ Consider the terms and conditions of staffing decisions made with funds

#### **STEP 5**

- ☐ ***Review the current and planned budgets***
  - ☐ Identify available funding for administrative and operational FTEs
  - ☐ Identify the total number of administrative FTE positions available
  - ☐ Identify the total number of operational and managerial FTE positions available
  - ☐ Identify available funding for contractual positions

#### **STEP 6**

- ☐ ***Compile a list of the total allowable number of staff (contractors and FTE) and available funding to support staff***
  - ☐ Understand the types of jobs appropriate for contractors
  - ☐ Understand the types of jobs that can be filled with FTEs

**PROGRAM ADMINISTRATOR GUIDELINES**

**VII. Developing the program staffing plan**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			
<b>STEP 4</b>			
<b>STEP 5</b>			
<b>STEP 6</b>			

## **PROGRAM ADMINISTRATOR GUIDELINES**

### **VII. Developing the program staffing plan**

#### **STEP 7**

☐ ***Identify alternative funding sources available to sustain long-term staffing***

- ☐ Consider other Federal, State, local, and tribal funding sources as well as volunteers, interns, etc.

#### **STEP 8**

☐ ***Develop and implement a staffing plan based on funded FTEs and contractual funding***

- ☐ Identify a central point of contact to work with the State, local, or tribal human resource/staffing office

**PROGRAM ADMINISTRATOR GUIDELINES**

**VII. Developing the program staffing plan**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 7</b>			
<b>STEP 8</b>			



## **PROGRAM ADMINISTRATOR GUIDELINES**

### **VIII. Identifying legal and programmatic policies, requirements, standards, and regulations that impact the program**

To ensure that the program is in compliance with legal and programmatic policies, requirements, standards, and regulations, the administrators should understand and have a record of all legal and programmatic policies, requirements, standards, and regulations that impact the program.

#### **STEP 1**

- ☐ ***Establish a timeframe for identifying or updating legal and programmatic policies, requirements, standards, and regulations that impact the program***

#### **STEP 2**

- ☐ ***Identify laws and/or statutes that impact the program***
  - ☐ Work with a State, local, or tribal legal department, officer, or attorney
  - ☐ Identify specific laws and/or statutes that impact the homeland security program

#### **STEP 3**

- ☐ ***Identify programmatic policies, requirements, standards, and regulations that impact the program***
  - ☐ Review the ODP website or work with a Preparedness or Technical Assistance Officer and identify policies, requirements, standards, and regulations, e.g.:
    - ✓ CIPP
    - ✓ EMAP
    - ✓ HSEEP
    - ✓ HSGP grant guidance
    - ✓ HSPD-5
    - ✓ HSPD-7
    - ✓ HSPD-8
    - ✓ LETPP
    - ✓ National Planning Scenarios
    - ✓ National Preparedness Goal
    - ✓ National Preparedness Guidance
    - ✓ National Priorities
    - ✓ NIMS
    - ✓ NRP
    - ✓ OJP OC Financial Guide
    - ✓ OMB Circulars
    - ✓ Target Capabilities List
    - ✓ Universal Task List

**PROGRAM ADMINISTRATOR GUIDELINES**

**VIII. Identifying legal and programmatic policies, requirements, standards, and regulations that impact the program**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			

## **PROGRAM ADMINISTRATOR GUIDELINES**

### **VIII. Identifying legal and programmatic policies, requirements, standards, and regulations that impact the program**

#### **STEP 4**

- ☐ **Create a spreadsheet and document relevant compliance information for the laws, statutes, policies, requirements, standards, and regulations, e.g.:**
  - ✓ Page numbers/website addresses of relevant sections
  - ✓ Critical activities and dates which the laws, statutes, policies, requirements, standards, and regulations impact
  - ✓ POCs for questions regarding the policies, requirements, standards, and regulations
  - ✓ Staff responsible for documenting/tracking compliance

#### **STEP 5**

- ☐ **Disseminate the legal and programmatic information to program POCs**
  - ☐ Identify administrative and operational stakeholders who should receive the information
  - ☐ Determine a method for dissemination, e.g.:
    - ✓ Post on website
    - ✓ Email
    - ✓ Hard copy

#### **STEP 6**

- ☐ **Monitor new laws, statutes, policies, requirements, standards, and regulations**
  - ☐ Collaborate with existing monitoring efforts (e.g., Inspector General)
  - ☐ Develop a schedule for reviewing new and/or amended laws, statutes, policies, requirements, and regulations
  - ☐ Update legal and programmatic information as needed and disseminate to stakeholders

**PROGRAM ADMINISTRATOR GUIDELINES**

**VIII. Identifying legal and programmatic policies, requirements, standards, and regulations that impact the program**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 4</b>			
<b>STEP 5</b>			
<b>STEP 6</b>			

## **PROGRAM ADMINISTRATOR GUIDELINES**

### **IX. Using intergovernmental agreements, contracts, and memorandums of understanding**

To leverage joint purchasing, shared services, mutual aid, etc. for homeland security, the administrators should identify and maintain records of any intergovernmental agreements, contracts, and memorandums of understanding that can be used for homeland security purposes.

#### **STEP 1**

☐ **Identify intergovernmental agreements, contracts, and memorandums of understanding**

- ☐ Work with a State, local, or tribal legal department, officer, or attorney
- ☐ Identify intergovernmental agreements, contracts, and memorandums of understanding that enable joint purchasing, shared services, mutual aid, etc. for homeland security

#### **STEP 2**

☐ **Review agreements, contracts, and memorandums of understanding and identify opportunities for inter-State/inter-local coordination, cooperative purchasing, and mutual aid**

- ☐ Understand and document the opportunities provided by each intergovernmental agreement, contract, and memorandum of understanding
- ☐ If applicable, document any conditions and/or restrictions for using agreements, contracts, and memorandums of understanding

#### **STEP 3**

☐ **Compile information and disseminate to key stakeholders, e.g.:**

- ✓ Planning, equipment, training, and exercise POCs
- ✓ State, local, and tribal procurement officers

#### **STEP 4**

☐ **Track compliance with intergovernmental agreements, contracts, and memorandums of understanding**

- ☐ Identify a point of contact to ensure and track full compliance with intergovernmental agreements, contracts, and memorandums of understanding

**PROGRAM ADMINISTRATOR GUIDELINES**

**IX. Using intergovernmental agreements, contracts, and memorandums of understanding**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			
<b>STEP 4</b>			

## **PROGRAM ADMINISTRATOR GUIDELINES**

### **X. Managing data tracking for performance evaluation**

In order to evaluate performance, create reports, update the State/Urban Area Homeland Security Strategy, and establish program priorities, the administrators should track key program data. The administrators should work with program POCs to identify what types of data should be tracked.

#### **STEP 1**

- ☐ **Identify key data that should be tracked in order to evaluate performance, create reports, update the State/Urban Area Homeland Security Strategy, and establish program priorities**
  - ☐ Review the State/Urban Area Homeland Security Strategy and identify data that should be tracked
  - ☐ Review programmatic policies, requirements, standards, and regulations and identify data that should be tracked
  - ☐ Coordinate with planning, equipment, training, and exercise POCs and identify other specific data that should be tracked
  - ☐ Coordinate with administrative staff (e.g., financial management staff) and determine data that should be tracked
  - ☐ Compile a list of all the data that should be tracked to evaluate performance, create reports, update the State/Urban Area Homeland Security Strategy, and establish program priorities

#### **STEP 2**

- ☐ **Assess current systems that track evaluation data**
  - ☐ Determine if existing technology and processes are sufficient to track program data for evaluation purposes
  - ☐ Identify gaps in current tracking technology and processes
  - ☐ Identify tracking technology and processes that are needed

#### **STEP 3**

- ☐ **Develop or enhance the system for tracking data and developing reports**
  - ☐ Determine necessary reporting capabilities
    - ☐ Coordinate with planning, equipment, training, and exercise POCs and identify necessary reports
    - ☐ Coordinate with financial management staff and identify necessary financial reports
    - ☐ Establish timeframes for developing reports
    - ☐ Identify optimal report formats (e.g., paper or electronic)
  - ☐ Establish a process for collecting performance data
    - ☐ Create a timeframe for collecting data
    - ☐ Identify a central point of contact responsible for overseeing data collection
  - ☐ Ensure system compatibility with existing tracking systems and program management software

**PROGRAM ADMINISTRATOR GUIDELINES**

**X. Managing data tracking for performance evaluation**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			



## **PROGRAM ADMINISTRATOR GUIDELINES**

### **X. Managing data tracking for performance evaluation**

#### **STEP 4**

☐ ***Evaluate tracking system effectiveness***

- ☐ Gather feedback on the usefulness of the reports and make necessary changes
- ☐ Identify a central point of contact to periodically review new technology for data tracking

**PROGRAM ADMINISTRATOR GUIDELINES**

**X. Managing data tracking for performance evaluation**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 4</b>			

## **PROGRAM ADMINISTRATOR GUIDELINES**

### **XI. Evaluating performance of the overall homeland security program**

To identify performance gaps and ways to improve the homeland security program, the administrators should measure program performance through evaluations on a regular basis.

#### **STEP 1**

##### **☐ Establish criteria for evaluating overall program performance**

- ☐ Review the State/Urban Area Homeland Security Strategy for evaluation requirements and potential evaluation criteria
- ☐ Solicit input from multiple program stakeholders and develop criteria, e.g.:
  - ✓ Overall progress toward meeting goals and objectives of the State/Urban Area Homeland Security Strategy
  - ✓ Efforts to maintain and update the State/Urban Area Homeland Security Strategy
  - ✓ Efforts to address previous program performance gaps
  - ✓ Efforts to make the program sustainable
  - ✓ Coordination and communication between planning, equipment, training, and exercise POCs/working groups
  - ✓ Performance quality of contractors/providers/vendors
  - ✓ Ability to meet the budget
  - ✓ Ability to manage program finances and provide financial management support
  - ✓ Ability to track program data
  - ✓ Ability to maintain staffing levels at the State, local, and tribal levels
  - ✓ Compliance with legal and programmatic policies, requirements, standards, and regulations
  - ✓ Compliance with intergovernmental agreements, contracts, and memorandums of understanding

#### **STEP 2**

##### **☐ Establish a timeframe for conducting evaluations**

- ☐ Review requirements and establish a schedule for evaluating overall program performance
- ☐ Document and communicate the schedule to program stakeholders

#### **STEP 3**

##### **☐ Collect data needed for performance evaluation**

- ☐ Develop a standard approach for soliciting input (e.g., surveys, interviews, etc.)

**PROGRAM ADMINISTRATOR GUIDELINES**

**XI. Evaluating performance of the overall homeland security program**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			

## **PROGRAM ADMINISTRATOR GUIDELINES**

### **XI. Evaluating performance of the overall homeland security program**

#### **STEP 4**

##### **☐ Evaluate data**

- ☐ Determine if outside, third party, evaluators are available and can be funded to conduct the evaluation
- ☐ If outside evaluators are not available, engage the Senior Advisory Committee, Urban Area Working Group, or other working group to review data
- ☐ Determine if overall homeland security program met criteria, e.g.:
  - ✓ Made significant progress toward meeting goals and objectives of the State/Urban Area Homeland Security Strategy
  - ✓ Updated the State/Urban Area Homeland Security Strategy when needed
  - ✓ Addressed performance gaps from previous evaluations
  - ✓ Made sufficient progress toward long-term sustainability
  - ✓ Ensured coordination and communication between planning, equipment, training, and exercise POCs/working groups
  - ✓ Contractors/providers/vendors performed according to contracts and provided timely and satisfactory services and products
  - ✓ Met the budget
  - ✓ Successfully managed finances and provided financial management support
  - ✓ Successfully tracked and applied performance data
  - ✓ Maintained necessary staffing levels at the State, local, and tribal levels
  - ✓ Complied with legal and programmatic policies, requirements, standards, and regulations
  - ✓ Complied with intergovernmental agreements, contracts, and memorandums of understanding

#### **STEP 5**

##### **☐ Analyze evaluation results and document performance gaps**

#### **STEP 6**

##### **☐ Develop a plan to address performance gaps**

- ☐ Create a task list, timeframe, and assign responsibilities for addressing performance gaps

#### **STEP 7**

##### **☐ Update the State/Urban Area Homeland Security Strategy based on the performance gaps**

**PROGRAM ADMINISTRATOR GUIDELINES**

**XI. Evaluating performance of the overall homeland security program**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 4</b>			
<b>STEP 5</b>			
<b>STEP 6</b>			
<b>STEP 7</b>			



Use these working calendars to create and track program milestones and deadlines.

January

Sunday					
Monday					
Tuesday					
Wednesday					
Thursday					
Friday					
Saturday					



Sunday						
Monday						
Tuesday						
Wednesday						
Thursday						
Friday						
Saturday						

# March

Sunday						
Monday						
Tuesday						
Wednesday						
Thursday						
Friday						
Saturday						

Admin Calendar-4

## May

[illegible]

## Admin Calendar-6

## July

Sunday						
Monday						
Tuesday						
Wednesday						
Thursday						
Friday						
Saturday						

[illegible]

# September

Sunday						
Monday						
Tuesday						
Wednesday						
Thursday						
Friday						
Saturday						



# October

# November

[illegible]

# December

[illegible]

# ODP and Other Resources Available to Support the Program Administrator

Resource	Access	Contacts	Brief Description
Centralized Scheduling and Information Desk (CSID)	The CSID toll-free number is 800-368-6498. The On-Site Call Desk is staffed weekdays from 8:00 a.m. to 7:00 p.m. Eastern Standard Time. On weekends, holidays, and after business hours, callers can leave a voice message. CSID support is also accessible via email at askcsid@dhs.gov.		The CSID is a one-stop-shop for information on homeland security terrorism preparedness events for the federal, state, and local communities. In addition, the CSID schedules ODP training with the emergency responder community and maintains interagency homeland security exercise schedules. The CSID provides a critical tool to the federal agencies in coordinating, consolidating, and monitoring Federal homeland security terrorism preparedness events in the United States.
SAA and State Homeland Security Contacts	SAA and State Homeland Security Contacts' information can be accessed through the following web address: <a href="http://www.ojp.usdoj.gov/odp/contact_state.htm">http://www.ojp.usdoj.gov/odp/contact_state.htm</a>		State contact information for State Administrative Agencies (SAAs) and Homeland Security Advisors.
Technical Assistance			
Homeland Security Preparedness Technical Assistance Program	<p>ODP technical assistance is provided without charge to eligible states and/or local jurisdictions. For information on the Homeland Security Preparedness Technical Assistance Program, call the ODP Help Line at (800) 368-6498 or email <a href="mailto:askcsid@dhs.gov">askcsid@dhs.gov</a>.</p> <p>ODP is pleased to announce the availability of the <i>Homeland Security Preparedness Technical Assistance Program Catalog</i> at the following web address: <a href="http://www.ojp.usdoj.gov/odp/docs/ODP_TA_Catalog.pdf">http://www.ojp.usdoj.gov/odp/docs/ODP_TA_Catalog.pdf</a></p> <p>If you are unable to download the catalog from the website, you may request a copy of the catalog by contacting the ODP Centralized Scheduling and Information Desk (CSID).</p>		<p>ODP's Homeland Security Preparedness Technical Assistance (TA) Program provides direct assistance to state and local jurisdictions to improve their ability to prevent, respond to, and recover from threats or acts of terrorism involving chemical, biological, radiological, nuclear, or explosive (CBRNE) weapons. TA provides a process to help resolve a problem and/or create innovative approaches. All TA services are available to eligible recipients at no charge.</p> <p>TA programs in place or currently under development within ODP include:</p> <ul style="list-style-type: none"><li>■ <b>Enhancing Grants Management Capacities of State Administrative Agencies</b></li><li>■ <b>Homeland Security Assessment and Strategy Technical Assistance</b></li><li>■ <b>Initial Strategy Implementation Plan (ISIP) Technical Assistance</b></li><li>■ <b>Domestic Preparedness Equipment Technical Assistance Program (DPETAP)</b></li><li>■ <b>Terrorism Early Warning Group Replication</b></li><li>■ <b>Interoperable Communication Technical Assistance Program (ICTAP)</b></li><li>■ <b>Port and Mass Transit Planning Technical Assistance</b></li><li>■ <b>Rapid Assistance Team Technical Assistance</b></li><li>■ <b>General Technical Assistance</b></li><li>■ <b>Prevention Technical Assistance</b></li><li>■ <b>Plans and Planning Synchronization Technical Assistance</b></li></ul>

Resource	Access	Brief Description
<b>Guidance &amp; Documents</b>		
ODP Online Library	<p>ODP's Online Library can be accessed through the following web address:  <a href="http://www.ojp.usdoj.gov/odp/library/bulletins.htm">http://www.ojp.usdoj.gov/odp/library/bulletins.htm</a></p>	<p>The ODP Online Library offers access to various guidance, documents, and other materials that can provide information and assist state and local jurisdictions in improving their ability to prevent, respond to, and recover from threats or acts of terrorism. The Library contains the following types of resources:</p> <ul style="list-style-type: none"> <li>■ Course Catalogs</li> <li>■ Information Bulletins</li> <li>■ Fact Sheets (Consortium Members and General)</li> <li>■ Training</li> <li>■ Reference Documents</li> <li>■ Presidential Decision Directives</li> <li>■ Grant Guidance and Information</li> </ul>
<b>Tools/Programs</b>		
Lessons Learned Information Sharing (LLIS)	<p>The LLIS network can be accessed through the following web address:  <a href="https://www.llis.dhs.gov/">https://www.llis.dhs.gov/</a></p>	<p>The Lessons Learned Information Sharing (LLIS) is a national, online network of best practices and lessons learned designed to help homeland security responders, planners, and healthcare professionals prevent, prepare for, and respond to terrorism.</p>
National Programs portal	<p>The National Programs portal can be accessed through the following web address:  <a href="http://www.ojp.usdoj.gov/odp/assessments/hspd8.htm">http://www.ojp.usdoj.gov/odp/assessments/hspd8.htm</a></p>	<p>The National Programs portal provides information and links for the following National Programs:</p> <ul style="list-style-type: none"> <li>■ National Incident Management System</li> <li>■ National Response Plan</li> <li>■ National Preparedness Goal</li> <li>■ Capabilities-Based Planning Tools (National Planning Scenarios, Target Capabilities List, Universal Task List)</li> <li>■ Homeland Security Grant Program Guidance</li> <li>■ National Preparedness Guidance</li> </ul>
USDHS/ODP Extranet Secure Portal (ESP)	<p>For technical questions on the use of the portal, a help desk is available at (804) 744-8800 or via email at <a href="mailto:helpdesk@espgroup.net">helpdesk@espgroup.net</a>. For substantive programmatic information and questions, please contact the ODP Centralized Scheduling and Information Desk (CSID).</p>	<p>The USDHS/ODP Extranet Secure Portal provides a mechanism to coordinate the scheduling of training and exercises and share exercise information with state and local jurisdictions.</p>

Resource	Access	Brief Description
<b>Other Resources</b>		
Citizen Corps	Information pertaining to Citizen Corps and its Partner Programs and Affiliates can be accessed through the following web address: <a href="http://www.citizencorps.gov">http://www.citizencorps.gov</a>	Citizen Corps is the Department of Homeland Security's program with the mission to harness the power of every individual through education, training, and volunteer service to make communities safer, stronger, and better prepared to respond to the threats of terrorism, crime, public health issues, and disasters of all kinds. The Citizen Corps mission is accomplished through a national network of state, local, and tribal Citizen Corps Councils. These Councils build on community strengths to implement the Citizen Corps programs and will carry out a local strategy to have every American participate.
Centers for Disease Control and Prevention (CDC)	CDC can be accessed through the following web address: <a href="http://www.cdc.gov/">http://www.cdc.gov/</a>	
Department of Health and Human Services (HHS)	The Department of Health and Human Services can be accessed through the following web address: <a href="http://www.hhs.gov">http://www.hhs.gov</a>	
Emergency Management Accreditation Program (EMAP)	EMAP can be accessed through the following web address: <a href="http://www.emaponline.org/">http://www.emaponline.org/</a>	
Federal Emergency Management Agency (FEMA)	FEMA can be accessed through the following web address: <a href="http://www.fema.gov">http://www.fema.gov</a>	
Office of Justice Programs Financial Guide	Office of Justice Programs Financial Guide can be accessed through the following web address: <a href="http://www.ojp.usdoj.gov/FinGuide/">http://www.ojp.usdoj.gov/FinGuide/</a>	
Office of Management and Budget (OMB)	OMB circulars can be accessed through the following web address: <a href="http://www.whitehouse.gov/omb/circulars/index.html">http://www.whitehouse.gov/omb/circulars/index.html</a>	



## Identifying Stakeholders – Sample Templates

Administrative Stakeholders with Direct Involvement	
Stakeholder Name	▶
Office / Organization / Agency / Etc.	▶
Phone	▶
Fax	▶
Area of Expertise	▶
Capability or Service Offering	▶
Activities in Which Stakeholder Should be Involved	▶
Type of Information Stakeholder Should Receive	▶

These sample templates show the types of categories that may be helpful to consider when identifying and tracking stakeholders

Operational Stakeholders with Direct Involvement	
Stakeholder Name	▶
Office / Organization / Agency / Etc.	▶
Phone	▶
Fax	▶
Area of Expertise	▶
Capability or Service Offering	▶
Activities in Which Stakeholder Should be Involved	▶
Type of Information Stakeholder Should Receive	▶



<b>First Responder Discipline Stakeholders</b>		
Discipline	▶ Emergency Management, e.g.	
Stakeholder Type (check one)	<input type="checkbox"/> Head official of Federal, State, local, and tribal emergency management agencies, departments, organizations, etc. <input type="checkbox"/> Program and / or operational manager with Federal, State, local, and tribal emergency management agencies, departments, organizations, etc. <input type="checkbox"/> Administrative POC with Federal, State, local, and tribal emergency management agencies, departments, organizations, etc. <input type="checkbox"/> First responder POC with Federal, State, local, and tribal emergency management agencies, departments, organizations, etc.	
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	▶ Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	▶ Information Stakeholder has Received

<b>Public Officials who Impact Homeland Security</b>		
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	▶ Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	▶ Information Stakeholder has Received

Private Sector Stakeholders		
Discipline	▶ Emergency Management, e.g.	
Stakeholder Type (check one)	<input type="checkbox"/> Private Sector Leader <input type="checkbox"/> Private Sector Industry POC <input type="checkbox"/> Private Sector Enterprise POC <input type="checkbox"/> Other	
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	▶ Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	▶ Information Stakeholder has Received

Stakeholders from Private Volunteer Organizations		
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	▶ Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	▶ Information Stakeholder has Received

<b>Academia Stakeholders</b>		
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	Information Stakeholder has Received

<b>Stakeholders from Non-governmental Organizations</b>		
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	Information Stakeholder has Received

Stakeholders from Federally Sponsored Volunteer Programs			
Stakeholder Name	▶		
Office / Organization / Agency / Etc.	▶		
Phone	▶		
Fax	▶		
Area of Expertise	▶		
Capability or Service Offering	▶		
Activities in Which Stakeholder Should be Involved	▶		Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶		Information Stakeholder has Received



# Communicating with Stakeholders – Sample Planning Document

Think about this...	Identify Stakeholders	Map Stakeholders to Communication Objectives	Determine Optimal Communication Method	Establish Schedule For Communication
<p>► Which stakeholders need to be included in the communication plan?</p>	<p>► What information does this stakeholder need to hear?</p> <p>► What information needs to be gathered from this stakeholder?</p>	<p>► What method should be used to deliver information?</p> <p>► Who will deliver the information?</p> <p>► What method should be used to collect information?</p> <p>► Who will collect the information?</p>	<p>► What is the appropriate timing for information sharing?</p>	
<p><b>Activities</b></p> <p>► Identify which stakeholders should be included in the communication plan</p> <p>It may be helpful to reference the list of stakeholders that was developed</p>	<p>► Group stakeholders according to similar information needs and communication objectives</p> <p>Consider the example objectives provided in the Handbook</p>	<p>► Determine methods for communication, e.g.:</p> <ul style="list-style-type: none"> <li>– Homeland security program newsletter or mailings</li> <li>– SAA website</li> <li>– Stakeholder and / or partner organization websites</li> <li>– State or regional conferences</li> <li>– Conference calls</li> <li>– Email</li> <li>– Attendance at working group meetings</li> </ul> <p>► Assign optimal methods to each stakeholder based on categories of information needs</p> <p>► Assign ownership of communication</p>	<p>► Establish a timeframe for two-way communication</p> <p>► Establish a timeframe for developing and maintaining publications / postings</p>	
<p><b>Products</b></p> <p>► List of stakeholders</p>	<p>► List of stakeholders grouped by information needs</p>	<p>► List of stakeholders with corresponding communication methods</p>	<p>► Communication plan that includes stakeholders, responsibilities, and timelines</p>	

Stakeholders	Communication Objectives & Information Needs	Communication Method	POC / Owner Responsible for Communication	Timeframe

This sample template shows the types of information, and a practical layout, that may be helpful to consider when documenting a communication plan

# PLANNING PREFACE

The **Planning Guidelines** are designed for managers or points of contact who are responsible for implementing activities associated with planning. The guidelines are part of the “ODP Program Management Handbook” that includes Administrator, Equipment, Training, and Exercise guidelines as well. The guidelines are not intended to supplant existing program management systems that are effective. Their purpose is to serve as a resourceful tool for building and improving management frameworks through which planning-related goals and objectives can be achieved throughout various programs and initiatives. The guidelines outline 12 suggested practices for developing and enhancing program management abilities to help accomplish the following responsibilities:

- Apply the goals and objectives of the State/Urban Area Homeland Security Strategy throughout homeland security planning activities;
- Assess the preparedness environment and identify planning priorities;
- Identify and coordinate with key stakeholders—including private sector partners—to effectively implement homeland security planning activities;
- Manage a strategic budget and staffing plan for planning activities;
- Identify alternative resources available to ensure long-term sustainability of planning efforts; and
- Measure the performance toward achieving the goals and objectives of the State/Urban Area Homeland Security Strategy through planning activities.

Each suggested practice is supported by a set of activities. It is recommended that the user designate a point of contact responsible for completing the activities. It is also recommended that the user create a calendar with milestones and deadlines for activity completion. The Handbook includes a list of helpful resources available from ODP. **Please consult the glossary for definitions of terms and acronyms used throughout the Handbook.**

Throughout the Handbook, the guidelines direct the planning POC to communicate and coordinate with the homeland security administrator(s). This refers to the administrator(s) at the State, local, and tribal levels (e.g., the SAA and UASI administrators) who administer homeland security funds and oversee the holistic implementation of homeland security programs and initiatives.





# PLANNING GUIDELINES

## PLANNING GUIDELINE SECTIONS

<b>I. Identifying planning stakeholders .....</b>	<b>Planning-4</b>
<b>II. Assembling a planning working group.....</b>	<b>Planning-12</b>
<b>III. Communicating with planning stakeholders.....</b>	<b>Planning-16</b>
<b>IV. Conducting an assessment to develop planning priorities .....</b>	<b>Planning-20</b>
<b>V. Developing a planning approach .....</b>	<b>Planning-24</b>
<b>VI. Creating and managing a planning budget .....</b>	<b>Planning-28</b>
<b>VII. Identifying staffing needs.....</b>	<b>Planning-32</b>
<b>VIII. Identifying non-monetary resources and promising practices to support planning activities.....</b>	<b>Planning-34</b>
<b>IX. Incorporating legal and programmatic policies, requirements, standards, and regulations that impact planning.....</b>	<b>Planning-38</b>
<b>X. Tracking planning data for performance evaluation and reporting.....</b>	<b>Planning-42</b>
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## PLANNING GUIDELINES

### I. Identifying planning stakeholders

To ensure that planning activities involve key stakeholders, the planning POC should identify all stakeholders who have a direct or indirect impact on planning. (Refer to the Resources section for sample planning documents)

#### STEP 1

##### ☐ **Create a database to maintain planning stakeholder information**

- ☐ Identify a point of contact responsible for maintaining the database on a regular basis
- ☐ Maintain the following types of stakeholder information:
  - ✓ Name and contact information (e.g., mailing address, email address, phone number, administrative assistant phone number, if applicable)
  - ✓ Area of expertise, if applicable
  - ✓ Capability or service offering as relevant to planning
  - ✓ Planning activities in which the stakeholder should be involved
  - ✓ Record of homeland security planning activities in which the stakeholder has been involved
  - ✓ Types of information the stakeholder should receive regarding planning
  - ✓ Record of planning information the stakeholder has received

#### STEP 2

##### ☐ **Identify stakeholders who have direct involvement with planning**

- ☐ Create a list of administrative stakeholders with direct planning involvement, e.g.:
  - ✓ Key financial staff from the Federal, State, local, and tribal levels, e.g.:
    - Financial managers/accountants
    - Auditors
    - Grant administrators who administer other grant programs that complement the homeland security program (e.g., CDC, HRSA, FEMA, DOT, DOE, USDA grants, etc.)
  - ✓ Procurement officers
  - ✓ Public information officers within the SAA office or agency who handle FOIA and press inquiries jointly with the SAA and their staff
  - ✓ Homeland security administrators and deputies from the Federal, State, local, and tribal levels
- ☐ Create a list of operational stakeholders with direct involvement, e.g.:
  - ✓ Federal, State, local, and tribal planning, equipment, training, and exercise POCs

**PLANNING GUIDELINES**

**I. Identifying planning stakeholders**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			

## PLANNING GUIDELINES

### I. Identifying planning stakeholders

#### STEP 3

##### ☐ **Identify Federal, State, local, and tribal stakeholders from first responder disciplines**

##### ☐ Consider disciplines such as the following (note: this list is not comprehensive):

- ✓ Agriculture
- ✓ Emergency management
- ✓ Emergency medical service
- ✓ Fire service
- ✓ Government administrative
- ✓ Hazardous materials
- ✓ Health care
- ✓ Law enforcement
- ✓ Military
- ✓ Public communications
- ✓ Public health
- ✓ Public works

##### ☐ For each discipline, group stakeholders according to categories such as the following:

- ✓ Head officials of Federal, State, local, and tribal agencies, departments, organizations, etc., e.g.:
  - Agencies, departments or organizations such as the FBI, National Guard, Coast Guard, Immigrations and Customs, Intelligence Fusion Center, State Police, State Emergency Management Agency, State Agriculture Agency, State Health Office, County Health Office, Victims Services Office
- ✓ Program and/or operational managers with Federal, State, local, and tribal agencies, departments, organizations, etc.
- ✓ Administrative POCs with Federal, State, local, and tribal agencies, departments, organizations, etc.
- ✓ First responder POCs with Federal, State, local, and tribal agencies, departments, organizations, etc.

**PLANNING GUIDELINES**

**I. Identifying planning stakeholders**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 3</b>			

## PLANNING GUIDELINES

### I. Identifying planning stakeholders

- ☐ For each stakeholder, maintain the following types of information:
  - ✓ Name and contact information (e.g., mailing address, email address, phone number, administrative assistant phone number, if applicable)
  - ✓ Area of expertise, if applicable
  - ✓ Capability or service offering as relevant to planning
  - ✓ Planning activities in which the stakeholder should be involved
  - ✓ Record of homeland security planning activities in which the stakeholder has been involved
  - ✓ Types of information the stakeholder should receive regarding planning
  - ✓ Record of planning information the stakeholder has received

#### STEP 4

##### ☐ **Identify public officials who impact or are affected by planning activities at the Federal, State, local, and tribal levels**

- ☐ For each public official, maintain the following types of information:
  - ✓ Name and contact information (e.g., mailing address, email address, phone number, administrative assistant phone number, if applicable)
  - ✓ Planning activities to which the public official should be invited or in which the public official should be involved
  - ✓ Record of planning activities to which the public official has been invited or in which the public official has been involved
  - ✓ Types of information the public official should receive regarding planning
  - ✓ Record of planning information the public official has received

#### STEP 5

##### ☐ **Identify important stakeholders from the private sector**

- ☐ Consider the following types of private sector stakeholders:
  - ✓ Private sector leaders
  - ✓ Private sector industry POCs
  - ✓ Private sector enterprise POCs
  - ✓ Other important private sector stakeholders (e.g., convention center staff, security staff, hospitality staff)
- ☐ For each stakeholder, maintain the following types of information:
  - ✓ Name and contact information (e.g., mailing address, email address, phone number, administrative assistant phone number, if applicable)
  - ✓ Area of expertise, if applicable

**PLANNING GUIDELINES**

**I. Identifying planning stakeholders**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 3</b>			
<b>STEP 4</b>			
<b>STEP 5</b>			



## PLANNING GUIDELINES

### I. Identifying planning stakeholders

- ✓ Capability or service offering as relevant to planning
- ✓ Planning activities in which the stakeholder should be involved
- ✓ Record of homeland security planning activities in which the stakeholder has been involved
- ✓ Types of information the stakeholder should receive regarding planning
- ✓ Record of planning information the stakeholder has received

#### STEP 6

☐ **Identify stakeholders from private volunteer organizations, academia, non-governmental organizations, and Federally sponsored volunteer programs, e.g.:**

- ☐ Consider the following types of private volunteer organizations, academia, non-governmental organizations, and Federally sponsored volunteer programs:

- ✓ Americorps
- ✓ Citizen Corps
- ✓ Civil Air Patrol
- ✓ Community and faith-based
- ✓ Red Cross
- ✓ Schools and universities
- ✓ Senior Corps

- ☐ For each stakeholder, maintain the following types of information:

- ✓ Name and contact information (e.g., mailing address, email address, phone number, administrative assistant phone number, if applicable)
- ✓ Area of expertise, if applicable
- ✓ Capability or service offering as relevant to planning
- ✓ Planning activities in which the stakeholder should be involved
- ✓ Record of homeland security planning activities in which the stakeholder has been involved
- ✓ Types of information the stakeholder should receive regarding planning
- ✓ Record of planning information the stakeholder has received

#### STEP 7

- ☐ **Share stakeholder information with the homeland security program administrator(s) to ensure it is included in the master stakeholder database**

#### STEP 8

- ☐ **Update the stakeholder database regularly as new information becomes available**

**PLANNING GUIDELINES**

**I. Identifying planning stakeholders**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 5</b>			
<b>STEP 6</b>			
<b>STEP 7</b>			
<b>STEP 8</b>			

## PLANNING GUIDELINES

### II. Assembling a planning working group

To ensure that key stakeholders are involved in coordinated planning efforts, the planning POC should assemble and utilize a planning working group.

#### STEP 1

##### ☐ **Assess existing planning working groups**

- ☐ Assess the role and responsibilities of existing planning working groups
  - ☐ Determine if the group has clear responsibilities, meets regularly, and communicates with the homeland security program administrator(s) and other working groups, including the Senior Advisory Committee and Urban Area Working Group
- ☐ Assess the membership of existing planning working groups
  - ☐ Determine if the group includes key planning stakeholders from all relevant jurisdictions, disciplines, and organizations, e.g.:
    - ✓ Stakeholders directly involved in planning from the Federal, State, local, and tribal levels
    - ✓ Stakeholders from all relevant disciplines
    - ✓ Stakeholders from the private sector
    - ✓ Stakeholders from private volunteer organizations, non-governmental organizations, and Federally sponsored volunteer organizations
    - ✓ First responders

#### STEP 2

##### ☐ ***If it is determined that a working group does not exist, needs enhanced responsibilities, or needs improved stakeholder representation, establish or reorganize one***

- ☐ Identify the authority of the planning working group by working with the homeland security program administrator(s), Senior Advisory Committee, and Urban Area Working Group
- ☐ Work with the homeland security program administrator(s) and establish working group objectives, e.g.:
  - ✓ To ensure advance, strategic planning
  - ✓ To develop relationships and work with private sector partners
  - ✓ To identify alternative resources for sustaining planning activities
  - ✓ To conduct planning assessments
  - ✓ To maintain strong coordination with homeland security stakeholders throughout the State and region
- ☐ Determine the frequency of working group meetings
- ☐ Identify and invite key stakeholders to participate

**PLANNING GUIDELINES**

**II. Assembling a planning working group**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			

## **PLANNING GUIDELINES**

### **II. Assembling a planning working group**

- ☐ Ensure broad representation from all jurisdictions, disciplines, and organizations involved in planning, e.g.:
  - ✓ Stakeholders directly involved in planning from the Federal, State, local, and tribal levels
  - ✓ Stakeholders from all relevant disciplines
  - ✓ Stakeholders from the private sector
  - ✓ Stakeholders from private volunteer organizations, non-governmental organizations, and Federally sponsored volunteer organizations
  - ✓ First responders
- ☐ Establish a process for making working group decisions and developing policies
- ☐ Clarify roles and responsibilities of working group members, e.g.:
  - ✓ Identify a chairperson
  - ✓ Identify voting members
  - ✓ Identify a point of contact for recording minutes and developing working group progress reports
  - ✓ Identify a point of contact responsible for meeting logistics (e.g., setting dates, finding locations, etc.)

**PLANNING GUIDELINES**

**II. Assembling a planning working group**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 2</b>			

## PLANNING GUIDELINES

### III. Communicating with planning stakeholders

To maintain regular communication with key planning stakeholders, the planning POC should develop and document a communication plan. (Refer to the Resources section for sample planning documents)

#### STEP 1

- ☐ **Identify a central point of contact to develop and document the communication plan**

#### STEP 2

- ☐ **Review NIMS concepts and principles for managing communications and information**

#### STEP 3

- ☐ **Establish communication objectives, e.g.:**
  - ✓ To coordinate planning efforts and avoid duplication
  - ✓ To review planning activities with the SAA/UASI administrator
  - ✓ To share information with Federal, State, local, and tribal planning POCs
  - ✓ To solicit feedback from ODP

#### STEP 4

- ☐ **Develop and document a plan for communicating with the Senior Advisory Committee, Urban Area Working Group, other working groups, and homeland security program administrator(s)**
  - ☐ Establish a timeframe for regular communication with the Senior Advisory Committee, Urban Area Working Group, other working groups, and homeland security program administrator(s)
  - ☐ Identify points of contact from the Senior Advisory Committee, Urban Area Working Group, and other working groups and maintain regular communication
  - ☐ Establish a method for communication (e.g., conference calls, email, attendance during meetings)

#### STEP 5

- ☐ **Develop and document a plan for communicating with planning stakeholders who are not represented on working groups**
  - ☐ Identify key stakeholders who should be included in the plan, e.g.:
    - ✓ Public officials at the Federal, State, local, and tribal levels
    - ✓ Head officials of Federal, State, local, and tribal agencies, departments, organizations, etc.
    - ✓ Program and/or operational managers with Federal, State, local, and tribal agencies, departments, organizations, etc.
    - ✓ Administrative POCs with Federal, State, local, and tribal agencies, departments, organizations, etc.
    - ✓ First responder POCs with Federal, State, local, and tribal agencies, departments, organizations, etc.

**PLANNING GUIDELINES**

**III. Communicating with planning stakeholders**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			
<b>STEP 4</b>			
<b>STEP 5</b>			



## **PLANNING GUIDELINES**

### **III. Communicating with planning stakeholders**

- ☐ Determine an optimal method for communication, e.g.:
  - ✓ Homeland security program newsletter or mailings
  - ✓ SAA website
  - ✓ Stakeholder and/or partner organization websites
  - ✓ State or regional conferences
  - ✓ Conference calls
  - ✓ Email
  - ✓ Presentations at working group meetings
- ☐ Establish a schedule for regular and frequent communication

**PLANNING GUIDELINES**

**III. Communicating with planning stakeholders**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 5</b>			

## **PLANNING GUIDELINES**

### **IV. Conducting an assessment to develop planning priorities**

To identify factors that affect planning and aid in developing planning priorities, the planning POC should conduct a planning assessment.

#### **STEP 1**

- ☐ ***Identify a central point of contact or use the planning working group to conduct the assessment***

#### **STEP 2**

- ☐ ***Establish a timeframe for conducting the assessment***

#### **STEP 3**

- ☐ ***Conduct an assessment of factors that affect planning***
  - ☐ Review goals and objectives of the State/Urban Area Homeland Security Strategy
    - ☐ Determine what plans are necessary to support the goals and objectives of the Strategy
    - ☐ Develop a list of required plans organized by the goals and objectives of the Strategy
  - ☐ Review State/regional assessments and reports
    - ☐ Develop a list of required plans organized according to the relevant sections of the assessments
  - ☐ Review legal and programmatic policies, requirements, standards, and regulations
    - ☐ Develop a list of required plans
  - ☐ Determine if plans are required for equipment, training, and exercise activities
    - ☐ Compare the requirements and determine if similar planning components are necessary and can be coordinated
  - ☐ Review new Federal, State, local, and tribal regulations
  - ☐ Identify other mandated and recommended plans

#### **STEP 4**

- ☐ ***Identify legislative and/or political factors that may impact planning priorities, e.g.:***
  - ✓ Election cycles
  - ✓ Pending legislation
  - ✓ Pending standards
  - ✓ Schedules of legislative sessions

**PLANNING GUIDELINES**

**IV. Conducting an assessment to develop planning priorities**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			
<b>STEP 4</b>			

## **PLANNING GUIDELINES**

### **IV. Conducting an assessment to develop planning priorities**

#### **STEP 5**

- ☐ **Identify seasonal cycles that may require special plans, e.g.:**
  - ✓ National / State / local / tribal events
  - ✓ Weather events (e.g., hurricanes, tornados)
  - ✓ Wildfires

#### **STEP 6**

- ☐ **Consolidate all information into one planning priorities list**

**PLANNING GUIDELINES**

**IV. Conducting an assessment to develop planning priorities**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 5</b>			
<b>STEP 6</b>			

## PLANNING GUIDELINES

### V. Developing a planning approach

To ensure progress toward achieving the goals of the State/Urban Area Homeland Security Strategy, the planning POC should develop and regularly update a planning approach.

#### STEP 1

- ☐ **Establish a timeframe for developing or updating the planning approach**

#### STEP 2

- ☐ **Establish planning goals based on the Strategy and identified planning priorities**
  - ☐ Review goals and objectives of the State/Urban Area Homeland Security Strategy
  - ☐ Review planning priorities identified from the planning assessment

#### STEP 3

- ☐ **Develop an approach to achieve planning goals**
  - ☐ Review available funding resources and understand the budget for planning activities
  - ☐ Design a planning schedule and identify milestones for plan development
    - ☐ Create a consolidated list of plans and applicable deadlines/timeframes for completion
    - ☐ Review legal and programmatic policies, requirements, standards, and regulations and identify legal and regulatory deadlines, including grant deadlines
    - ☐ Review ISIP and BSIR
    - ☐ Identify all activities and incorporate them into a consolidated planning schedule, e.g.:
      - ✓ Operational/response/recovery/COOP/COG plans
      - ✓ State, local, and tribal level plans
      - ✓ Conferences
      - ✓ Assessments
      - ✓ National initiatives
      - ✓ Public education and outreach
    - ☐ Create a master calendar
      - ☐ Include the final due dates of all identified plans
      - ☐ Establish interim deadlines for each plan to comply with final deadlines
        - ☐ Consider the length of approval processes
  - ☐ Convene the planning working group to coordinate and develop plans
    - ☐ Ensure that plans do not contradict, i.e.:
      - ☐ Compare all local and tribal plans to ensure they complement each other
      - ☐ Compare State plans to ensure they complement each other
      - ☐ Compare local and tribal plans with State plans
      - ☐ Ensure State plans complement the NRP

**PLANNING GUIDELINES**

**V. Developing a planning approach**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			



## **PLANNING GUIDELINES**

### **V. Developing a planning approach**

#### **STEP 4**

- ☐ *Share the planning approach with the homeland security program administrator(s) to influence budget allocations*

#### **STEP 5**

- ☐ *Establish and document a schedule for updating the approach and communicate the schedule to planning stakeholders*

**PLANNING GUIDELINES**

**V. Developing a planning approach**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 4</b>			
<b>STEP 5</b>			

## **PLANNING GUIDELINES**

### **VI. Creating and managing a planning budget**

When creating and managing the planning budget, the planning POC should use the State or Urban Area Homeland Security Strategy and priorities of the planning approach, in coordination with the homeland security program administrator(s). The planning POC should track expenditures against the budget.

#### **STEP 1**

- ☐ ***Establish a timeframe for developing the planning budget***

#### **STEP 2**

- ☐ ***Review the planning approach and the objectives of the State/Urban Area Homeland Security Strategy***

#### **STEP 3**

- ☐ ***Develop the budget based on the State/Urban Area Homeland Security Strategy and planning approach***
  - ☐ Develop best and worst case scenario budgets in advance of funding allocations based on previous year budgets and likely funding estimates
  - ☐ Base budget allocations on the State/Urban Area Homeland Security Strategy and planning priorities
  - ☐ Create the final budget based on actual planning allocation and other available funding

#### **STEP 4**

- ☐ ***Identify and understand financial management requirements***
  - ☐ Work with procurement officers, financial managers/accountants, auditors, and grant administrators and identify financial management requirements, e.g.:
    - ✓ Applicable OMB circulars
    - ✓ OJP OC Financial Guide
    - ✓ Procurement laws and regulations
    - ✓ State or local financial management requirements
    - ✓ Certified assurances
  - ☐ Review the schedule of all reporting requirements, timeframes, reporting agencies, etc., e.g.:
    - ✓ Required program reports
    - ✓ Required financial reports
    - ✓ Grant certifications and assurances
    - ✓ Funding deadlines and timeframes
    - ✓ The impact of delinquency on future funding and payments

**PLANNING GUIDELINES**

**VI. Creating and managing a planning budget**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			
<b>STEP 4</b>			

## **PLANNING GUIDELINES**

### **VI. Creating and managing a planning budget**

#### **STEP 5**

- ☐ ***Present the budget to homeland security program administrator(s) for monitoring purposes***

#### **STEP 6**

- ☐ ***Track funding expenditures against budgeted amounts and compare with stated priorities and goals***
  - ☐ Identify a central point of contact to monitor the budget and ongoing expenditures on a regular basis
  - ☐ Develop a database/spreadsheet to track the following information regarding funding:
    - ✓ POC responsible for managing funds
    - ✓ Amount of funding award
    - ✓ Source of funding award (e.g., SHSP, LETPP, UASI, etc.)
    - ✓ Allowable funding expenditures
    - ✓ Conditions or restrictions on expenditures
    - ✓ Expenditures and draw down against funding source (e.g., procurements)
  - ☐ Complete program reports on a regular basis to ensure that expenditures have been tied to program performance and agreed upon deliverables/projects
  - ☐ Complete financial reports on a regular basis to ensure financial management compliance and appropriate allocation of funds to agreed upon deliverables/projects
  - ☐ Submit all completed reports to the program administrator(s)

**PLANNING GUIDELINES**

**VI. Creating and managing a planning budget**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 5</b>			
<b>STEP 6</b>			

## **PLANNING GUIDELINES**

### **VII. Identifying staffing needs**

To ensure that all staffing needs are met, the planning POC should identify the workload and communicate staffing needs to the homeland security program administrator(s).

#### **STEP 1**

- ☐ ***Establish a timeframe for identifying or updating staffing needs***

#### **STEP 2**

- ☐ ***Identify staff and skills needed to sustain planning activities***
  - ☐ Review planning activities as identified in the master planning calendar
  - ☐ Identify administrative and operational staff and skills needed to implement planning, including appropriate personnel to monitor grants
  - ☐ Consider the need for staff with security clearances

#### **STEP 3**

- ☐ ***Assess current staff availability***
  - ☐ Identify full-time and detailed, part-time staff available, including contractual support

#### **STEP 4**

- ☐ ***Identify staffing gaps***

#### **STEP 5**

- ☐ ***Communicate staffing needs to the homeland security program administrator(s) to determine if funding is available for staffing***

#### **STEP 6**

- ☐ ***Identify alternative methods to sustain staffing***
  - ☐ Consider other Federal, State, local, and tribal funding sources as well as volunteers, interns, etc.

PLANNING GUIDELINES

VII. Identifying staffing needs

	POC Responsible for Completion	Complete by:	Other Notes
STEP 1			
STEP 2			
STEP 3			
STEP 4			
STEP 5			
STEP 6			



## PLANNING GUIDELINES

### VIII. Identifying non-monetary resources and promising practices to support planning activities

To enhance the implementation of planning activities, the planning POC should identify non-monetary resources and promising practices.

#### STEP 1

- ☐ **Establish a timeframe for identifying non-monetary resources and promising practices to support planning**

#### STEP 2

- ☐ **Identify non-monetary resources and promising practices to support planning, e.g.:**
  - ✓ Planning resources and promising practices from within the State and from other States/regions
  - ✓ Planning resources and promising practices from professional organizations and associations, e.g.:
    - JCAHO
    - NEMA
    - NFPA
  - ✓ Planning resources and promising practices from Federal partners and agencies, e.g.:
    - AHRQ
    - CDC
    - FEMA
    - NIPP
    - ODP (e.g., HSAP, LLIS, RKB)

#### STEP 3

- ☐ **Document each resource and promising practice**
  - ☐ Identify the following types of information for each resource:
    - ✓ Resource type, e.g.:
      - Website/portal
      - Guidance document
      - Training and Technical Assistance
      - In-kind support
      - Solicited and unsolicited donations
      - Mutual aid agreements
    - ✓ Associated costs
    - ✓ Contact information to obtain the resource
    - ✓ Description of how the resource can be used in planning
  - ☐ Identify the following types of information for the promising practices:
    - ✓ When and how to implement the promising practice
    - ✓ Benefits
    - ✓ Point of contact to learn more information

**PLANNING GUIDELINES**

**VIII. Identifying non-monetary resources and promising practices to support planning activities**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			

## **PLANNING GUIDELINES**

### **VIII. Identifying non-monetary resources and promising practices to support planning activities**

#### **STEP 4**

- ☐ ***Distribute the resource information to planning stakeholders***
  - ☐ Identify administrative and operational planning stakeholders who should receive the information
    - ☐ Consider stakeholders from all jurisdictions and disciplines involved in planning
  - ☐ Determine a method for dissemination, e.g.:
    - ✓ Post on website
    - ✓ Email
    - ✓ Hard copy

**PLANNING GUIDELINES**

**VIII. Identifying non-monetary resources and promising practices to support planning activities**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 4</b>			

## PLANNING GUIDELINES

### IX. Incorporating legal and programmatic policies, requirements, standards, and regulations that impact planning

To ensure that planning activities are in compliance with legal and programmatic policies, requirements, standards, and regulations, the planning POC should understand and have a record of all legal and programmatic policies, requirements, standards, and regulations that impact planning.

#### STEP 1

- ☐ **Collect information regarding legal and programmatic policies, requirements, standards, and regulations from the homeland security program administrator(s)**

#### STEP 2

- ☐ **Determine which laws, statutes, policies, requirements, standards, and regulations affect planning**
  - ☐ Review the legal and programmatic policies, requirements, standards, and regulations information provided by the homeland security program administrator(s), e.g.:
    - ✓ CIPP
    - ✓ EMAP
    - ✓ HSEEP
    - ✓ HSGP grant guidance
    - ✓ HSPD-5
    - ✓ HSPD-7
    - ✓ HSPD-8
    - ✓ LETPP
    - ✓ National Planning Scenarios
    - ✓ National Preparedness Goal
    - ✓ National Preparedness Guidance
    - ✓ National Priorities
    - ✓ NIMS
    - ✓ NRP
    - ✓ OJP OC Financial Guide
    - ✓ OMB Circulars
    - ✓ Target Capabilities List
    - ✓ Universal Task List

#### STEP 3

- ☐ **Create a spreadsheet and document specific sections that impact planning, e.g.:**
  - ✓ Page numbers/website addresses of relevant sections
  - ✓ Critical activities and dates which the laws, statutes, policies, requirements, standards, and regulations impact
  - ✓ POCs for questions regarding the policies, requirements, standards, and regulations

**PLANNING GUIDELINES**

**IX. Incorporating legal and programmatic policies, requirements, standards, and regulations that impact planning**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			

## PLANNING GUIDELINES

### IX. Incorporating legal and programmatic policies, requirements, standards, and regulations that impact planning

#### STEP 4

- ☐ **Identify and document any additional planning-specific laws, policies, requirements, standards, and regulations, e.g.:**
  - ✓ Procurement laws and regulations
  - ✓ Contractor/vendor laws and regulations

#### STEP 5

- ☐ **Disseminate the legal and programmatic information to planning stakeholders**
  - ☐ Identify administrative and operational planning stakeholders who should receive the information
    - ☐ Consider stakeholders from all jurisdictions and disciplines involved in planning
  - ☐ Determine a method for dissemination, e.g.:
    - ✓ Post on website
    - ✓ Email
    - ✓ Hard copy

#### STEP 6

- ☐ **Monitor new laws, statutes, policies, requirements, standards, and regulations**
  - ☐ Collaborate with existing monitoring efforts (e.g., Inspector General)
  - ☐ Develop a schedule for reviewing new and/or amended laws, statutes, policies, requirements, standards and regulations
  - ☐ Work with a State, local, or tribal legal department, officer, or attorney to review and understand new and/or amended laws, statutes, policies, requirements, standards and regulations
  - ☐ Update legal and programmatic information as needed and disseminate to stakeholders

**PLANNING GUIDELINES**

**IX. Incorporating legal and programmatic policies, requirements, standards, and regulations that impact planning**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 4</b>			
<b>STEP 5</b>			
<b>STEP 6</b>			



## PLANNING GUIDELINES

### X. Tracking planning data for performance evaluation and reporting

To aid in measuring performance and in creating reports, the planning POC should track planning data.

#### STEP 1

☐ **Identify data that should be tracked to evaluate the management of planning activities**

- ☐ Work with the homeland security program administrator(s) and identify data that should be tracked for evaluations and reports
- ☐ Review the State/Urban Area Homeland Security Strategy and identify data that should be tracked to evaluate performance (e.g., spending against requirements, Strategy, etc.)
- ☐ Review programmatic policies, requirements, standards, and regulations and identify specific planning data that should be tracked to evaluate performance
- ☐ Coordinate with administrative staff (e.g., financial management staff) and determine data that should be tracked to evaluate performance
- ☐ Track planning contractor data, e.g.:
  - ✓ Name and contact information
  - ✓ Planning expertise
  - ✓ Previous experience/engagements
  - ✓ Contract mechanisms (e.g., availability through Blanket Purchase Agreements)
  - ✓ References
  - ✓ Qualifications/credentials
  - ✓ Performance reports and evaluations
  - ✓ Scheduling procedures and availability

#### STEP 2

☐ **Establish a process to track data**

- ☐ Identify a central point of contact to collect data for the homeland security tracking system
- ☐ Coordinate with the homeland security program administrator(s) and establish a timeframe for updating planning data in the tracking system
- ☐ Develop a schedule to ensure planning data is updated with changes

#### STEP 3

☐ **Understand and comply with reporting deadlines (e.g. Federal, State, local, and tribal)**

**PLANNING GUIDELINES**

**X. Tracking planning data for performance evaluation and reporting**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			

## **PLANNING GUIDELINES**

### **XI. Evaluating the management of planning activities**

To identify performance gaps and ways to improve the management of planning activities, the planning POC should measure performance through evaluations on a regular basis.

#### **STEP 1**

##### **☐ Establish criteria for evaluating planning management**

- ☐ Review the State/Urban Area Homeland Security Strategy for evaluation requirements and potential evaluation criteria
- ☐ Solicit input from multiple planning stakeholders and develop evaluation criteria, e.g.:
  - ✓ Progress toward meeting planning goals
  - ✓ Efforts to address previous planning performance gaps
  - ✓ Efforts to complete plans according to master calendar milestones and deadlines
  - ✓ Coordination and communication between planning, equipment, training, and exercise stakeholders
  - ✓ Ability to meet budget
  - ✓ Ability to track planning finances
  - ✓ Ability to track planning data
  - ✓ Ability to maintain staffing levels and skills
  - ✓ Compliance with legal and programmatic policies, requirements, standards, and regulations
  - ✓ Ability to generate necessary reports

#### **STEP 2**

##### **☐ Establish a timeframe for conducting evaluations**

- ☐ Review requirements and establish a schedule for evaluating management performance
- ☐ Document and communicate the schedule to planning stakeholders

#### **STEP 3**

##### **☐ Collect data needed for the performance evaluation**

- ☐ Develop a standard approach for soliciting input (e.g., surveys, interviews, etc.)

**PLANNING GUIDELINES**

**XI. Evaluating the management of planning activities**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			

## **PLANNING GUIDELINES**

### **XI. Evaluating the management of planning activities**

#### **STEP 4**

##### **☐ Evaluate data**

- ☐ Engage the planning working group to review data
- ☐ Determine if the planning management criteria were met, e.g.:
  - ✓ Made significant progress toward meeting planning goals
  - ✓ Addressed previous planning performance gaps
  - ✓ Completed plans according to master calendar milestones and deadlines
  - ✓ Ensured coordination and communication with equipment, training, and exercise stakeholders
  - ✓ Met the budget
  - ✓ Successfully tracked finances
  - ✓ Successfully tracked and applied planning data
  - ✓ Maintained necessary staffing levels
  - ✓ Complied with legal and programmatic policies, requirements, standards, and regulations
  - ✓ Generated necessary reports

#### **STEP 5**

- ☐ **Analyze evaluation results, document performance gaps, and share information with the homeland security program administrator(s) to aid in the overall program evaluation**

#### **STEP 6**

##### **☐ Develop a plan to address performance gaps**

- ☐ Create a task list, timeframe, and assign responsibilities for addressing performance gaps

#### **STEP 7**

- ☐ **Share evaluation results with key stakeholders who will be involved in subsequent year planning**

**PLANNING GUIDELINES**

**XI. Evaluating the management of planning activities**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 4</b>			
<b>STEP 5</b>			
<b>STEP 6</b>			
<b>STEP 7</b>			

## **PLANNING GUIDELINES**

### **XII. Evaluating planning contractors**

To help ensure that contractors are providing effective services and products, the planning POC should evaluate the performance of contractors and document the findings for future reference.

#### **STEP 1**

- ☐ ***Establish a timeframe for evaluating planning contractors***

#### **STEP 2**

- ☐ ***Identify a central point of contact to evaluate planning contractors***

#### **STEP 3**

- ☐ ***Establish contractor evaluation criteria***
  - ☐ Work with the homeland security program administrator(s) and the planning working group and establish criteria, e.g.:
    - ✓ Performance/product quality
    - ✓ Performance according to schedule
    - ✓ Ability to remain within budget
    - ✓ Overall client satisfaction with performance

#### **STEP 4**

- ☐ ***Conduct evaluations***
  - ☐ Engage the planning working group to conduct evaluations
  - ☐ Determine if contractors met criteria, e.g.:
    - ✓ Delivered high quality performance/product
    - ✓ Met schedule milestones and deadlines
    - ✓ Remained within budget
    - ✓ Satisfied client needs

#### **STEP 5**

- ☐ ***Document performance gaps and/or strengths and communicate them to the homeland security program administrator(s) to aid in the overall program evaluation***

#### **STEP 6**

- ☐ ***Share information with stakeholders who will need future contract services***

**PLANNING GUIDELINES**

**XII. Evaluating planning contractors**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			
<b>STEP 4</b>			
<b>STEP 5</b>			
<b>STEP 6</b>			





Use these working calendars to create and track planning milestones and deadlines.

January

Sunday					
Monday					
Tuesday					
Wednesday					
Thursday					
Friday					
Saturday					

[illegible]

# March

[illegible]

# April

# May

[illegible]



## July

Sunday						
Monday						
Tuesday						
Wednesday						
Thursday						
Friday						
Saturday						



Sunday						
Monday						
Tuesday						
Wednesday						
Thursday						
Friday						
Saturday						

# September

[illegible]

Sunday						
Monday						
Tuesday						
Wednesday						
Thursday						
Friday						
Saturday						

# November

[illegible]

[illegible]

## ODP and Other Resources Available to Support Planning

Resource	Access	Brief Description
<b>Contacts</b>		
<b>Centralized Scheduling and Information Desk (CSID)</b>	The CSID toll-free number is 800-368-6498. The On-Site Call Desk is staffed weekdays from 8:00 a.m. to 7:00 p.m. Eastern Standard Time. On weekends, holidays, and after business hours, callers can leave a voice message. CSID support is also accessible via email at <a href="mailto:askcsid@dhs.gov">askcsid@dhs.gov</a> .	The CSID is a one-stop-shop for information on homeland security terrorism preparedness events for the federal, state, and local communities. In addition, the CSID schedules ODP training with the emergency responder community and maintains interagency homeland security exercise schedules. The CSID provides a critical tool to the federal agencies in coordinating, consolidating, and monitoring Federal homeland security terrorism preparedness events in the United States.
<b>Technical Assistance</b>		
<b>Homeland Security Preparedness Technical Assistance Program</b>	<p>ODP technical assistance is provided without charge to eligible states and/or local jurisdictions. For information on the Homeland Security Preparedness Technical Assistance Program, call the ODP Help Line at (800) 368-6498 or email <a href="mailto:askcsid@dhs.gov">askcsid@dhs.gov</a>.</p> <p>ODP is pleased to announce the availability of the <i>Homeland Security Preparedness Technical Assistance Program Catalog</i> at the following web address: <a href="http://www.ojp.usdoj.gov/odp/docs/ODP_TA_Catalog.pdf">http://www.ojp.usdoj.gov/odp/docs/ODP_TA_Catalog.pdf</a></p> <p>If you are unable to download the catalog from the website, you may request a copy of the catalog by contacting the ODP Centralized Scheduling and Information Desk (CSID).</p>	<p>ODP's Homeland Security Preparedness Technical Assistance (TA) Program provides direct assistance to state and local jurisdictions to improve their ability to prevent, respond to, and recover from threats or acts of terrorism involving chemical, biological, radiological, nuclear, or explosive (CBRNE) weapons. TA provides a process to help resolve a problem and/or create innovative approaches. All TA services are available to eligible recipients at no charge.</p> <p>TA programs in place or currently under development within ODP include:</p> <ul style="list-style-type: none"> <li>■ <b>Enhancing Grants Management Capacities of State Administrative Agencies</b></li> <li>■ <b>Homeland Security Assessment and Strategy Technical Assistance</b></li> <li>■ <b>Initial Strategy Implementation Plan (ISIP) Technical Assistance</b></li> <li>■ <b>Domestic Preparedness Equipment Technical Assistance Program (DPETAP)</b></li> <li>■ <b>Terrorism Early Warning Group Replication</b></li> <li>■ <b>Interoperable Communication Technical Assistance Program (ICTAP)</b></li> <li>■ <b>Port and Mass Transit Planning Technical Assistance</b></li> <li>■ <b>Rapid Assistance Team Technical Assistance</b></li> <li>■ <b>General Technical Assistance</b></li> <li>■ <b>Prevention Technical Assistance</b></li> <li>■ <b>Plans and Planning Synchronization Technical Assistance</b></li> </ul>

Resource	Access	Brief Description
<b>Technical Assistance</b>		
<b><i>Maintaining and Sustaining, the Citizen Corps course</i></b>	Information pertaining to the <i>Maintaining and Sustaining</i> Citizen Corps course will be available through the following web address: <a href="http://www.citizencorps.gov">http://www.citizencorps.gov</a> .	Citizens are an integral part of community safety and they benefit from the implementation of Citizen Corps activities. Therefore a need exists to enhance the knowledge, skills and capabilities of Citizen Corps Council members to better facilitate the management of their councils. This course provides an understanding of the roles and responsibilities of the council in implementing Citizen Corps activities. Additionally, this course provides an understanding of the added worth and importance the council contributes to comprehensive community preparedness.
<b>Guidance &amp; Documents</b>		
<b>ODP Online Library</b>	The ODP Online Library can be accessed through the following web address: <a href="http://www.ojp.usdoj.gov/odp/library/bulletins.htm">http://www.ojp.usdoj.gov/odp/library/bulletins.htm</a>	<p>The ODP Online Library offers access to various guidance, documents, and other materials that can provide information and assist state and local jurisdictions in improving their ability to prevent, respond to, and recover from threats or acts of terrorism. The Library contains the following types of resources:</p> <ul style="list-style-type: none"> <li>■ <b>Course Catalogs</b></li> <li>■ <b>Information Bulletins</b></li> <li>■ <b>Fact Sheets</b> (Consortium Members and General)</li> <li>■ <b>Training</b></li> <li>■ <b>Reference Documents</b></li> <li>■ <b>Presidential Decision Directives</b></li> <li>■ <b>Grant Guidance and Information</b></li> </ul>
<b>Tools/Programs</b>		
<b>Lessons Learned Information Sharing (LLIS)</b>	The LLIS network can be accessed through the following web address: <a href="https://www.llis.dhs.gov/">https://www.llis.dhs.gov/</a>	The Lessons Learned Information Sharing (LLIS) is a national, online network of best practices and lessons learned designed to help homeland security responders, planners, and healthcare professionals prevent, prepare for, and respond to terrorism.
<b>National Programs portal</b>	The National Programs portal can be accessed through the following web address: <a href="http://www.ojp.usdoj.gov/odp/assessments/hspd8.htm">http://www.ojp.usdoj.gov/odp/assessments/hspd8.htm</a>	<p>The National Programs portal provides information and links for the following National Programs:</p> <ul style="list-style-type: none"> <li>■ <b>National Incident Management System</b></li> <li>■ <b>National Response Plan</b></li> <li>■ <b>National Preparedness Goal</b></li> <li>■ <b>Capabilities-Based Planning Tools (National Planning Scenarios, Target Capabilities List, Universal Task List)</b></li> <li>■ <b>Homeland Security Grant Program Guidance</b></li> <li>■ <b>National Preparedness Guidance</b></li> </ul>

Resource	Access	Brief Description
	Other Resources	
Citizen Corps	Information pertaining to Citizen Corps and its Partner Programs and Affiliates can be accessed through the following web address: <a href="http://www.citizencorps.gov">http://www.citizencorps.gov</a>	Citizen Corps is the Department of Homeland Security's program with the mission to harness the power of every individual through education, training, and volunteer service to make communities safer, stronger, and better prepared to respond to the threats of terrorism, crime, public health issues, and disasters of all kinds. The Citizen Corps mission is accomplished through a national network of state, local, and tribal Citizen Corps Councils. These Councils build on community strengths to implement the Citizen Corps programs and will carry out a local strategy to have every American participate.
Centers for Disease Control and Prevention (CDC)	CDC can be accessed through the following web address: <a href="http://www.cdc.gov/">http://www.cdc.gov/</a>	
Department of Health and Human Services (HHS)	The Department of Health and Human Services can be accessed through the following web address: <a href="http://www.hhs.gov">http://www.hhs.gov</a>	
Emergency Management Accreditation Program (EMAP)	EMAP can be accessed through the following web address: <a href="http://www.emaponline.org/">http://www.emaponline.org/</a>	
Federal Emergency Management Agency (FEMA)	FEMA can be accessed through the following web address: <a href="http://www.fema.gov">http://www.fema.gov</a>	
Office of Justice Programs Financial Guide	Office of Justice Programs Financial Guide can be accessed through the following web address: <a href="http://www.ojp.usdoj.gov/FinGuide/">http://www.ojp.usdoj.gov/FinGuide/</a>	
Office of Management and Budget (OMB)	OMB circulars can be accessed through the following web address: <a href="http://www.whitehouse.gov/omb/circulars/index.html">http://www.whitehouse.gov/omb/circulars/index.html</a>	





## Identifying Stakeholders – Sample Templates

Administrative Stakeholders with Direct Involvement		
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	Information Stakeholder has Received

These sample templates show the types of categories that may be helpful to consider when identifying and tracking stakeholders

Operational Stakeholders with Direct Involvement		
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	Information Stakeholder has Received

<b>First Responder Discipline Stakeholders</b>		
Discipline	▶ Emergency Management, e.g.	
Stakeholder Type (check one)	<input type="checkbox"/> Head official of Federal, State, local, and tribal emergency management agencies, departments, organizations, etc. <input type="checkbox"/> Program and / or operational manager with Federal, State, local, and tribal emergency management agencies, departments, organizations, etc. <input type="checkbox"/> Administrative POC with Federal, State, local, and tribal emergency management agencies, departments, organizations, etc. <input type="checkbox"/> First responder POC with Federal, State, local, and tribal emergency management agencies, departments, organizations, etc.	
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	▶ Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	▶ Information Stakeholder has Received

<b>Public Officials who Impact Homeland Security</b>		
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	▶ Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	▶ Information Stakeholder has Received

Private Sector Stakeholders		
Discipline	▶ Emergency Management, e.g.	
Stakeholder Type (check one)	<input type="checkbox"/> Private Sector Leader <input type="checkbox"/> Private Sector Industry POC <input type="checkbox"/> Private Sector Enterprise POC <input type="checkbox"/> Other	
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	▶ Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	▶ Information Stakeholder has Received

Stakeholders from Private Volunteer Organizations		
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	▶ Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	▶ Information Stakeholder has Received

<b>Academia Stakeholders</b>			
Stakeholder Name	▶		
Office / Organization / Agency / Etc.	▶		
Phone	▶		
Fax	▶		
Area of Expertise	▶		
Capability or Service Offering	▶		
Activities in Which Stakeholder Should be Involved	▶		Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶		Information Stakeholder has Received

<b>Stakeholders from Non-governmental Organizations</b>			
Stakeholder Name	▶		
Office / Organization / Agency / Etc.	▶		
Phone	▶		
Fax	▶		
Area of Expertise	▶		
Capability or Service Offering	▶		
Activities in Which Stakeholder Should be Involved	▶		Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶		Information Stakeholder has Received

Stakeholders from Federally Sponsored Volunteer Programs			
Stakeholder Name	▶		
Office / Organization / Agency / Etc.	▶		
Phone	▶		
Fax	▶		
Area of Expertise	▶		
Capability or Service Offering	▶		
Activities in Which Stakeholder Should be Involved	▶		Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶		Information Stakeholder has Received



# Communicating with Stakeholders – Sample Planning Document

Identify Stakeholders	Map Stakeholders to Communication Objectives	Determine Optimal Communication Method	Establish Schedule For Communication
<p><b>Think about this...</b></p> <ul style="list-style-type: none"> <li>▶ Which stakeholders need to be included in the communication plan?</li> </ul>	<ul style="list-style-type: none"> <li>▶ What information does this stakeholder need to hear?</li> <li>▶ What information needs to be gathered from this stakeholder?</li> </ul>	<ul style="list-style-type: none"> <li>▶ What method should be used to deliver information?</li> <li>▶ Who will deliver the information?</li> <li>▶ What method should be used to collect information?</li> <li>▶ Who will collect the information?</li> </ul>	<ul style="list-style-type: none"> <li>▶ What is the appropriate timing for information sharing?</li> </ul>
<p><b>Activities</b></p> <p>It may be helpful to reference the list of stakeholders that was developed</p>	<ul style="list-style-type: none"> <li>▶ Group stakeholders according to similar information needs and communication objectives</li> </ul> <p>Consider the example objectives provided in the Handbook</p>	<ul style="list-style-type: none"> <li>▶ Determine methods for communication, e.g.: <ul style="list-style-type: none"> <li>– Homeland security program newsletter or mailings</li> <li>– SAA website</li> <li>– Stakeholder and / or partner organization websites</li> <li>– State or regional conferences</li> <li>– Conference calls</li> <li>– Email</li> <li>– Attendance at working group meetings</li> </ul> </li> <li>▶ Assign optimal methods to each stakeholder based on categories of information needs</li> <li>▶ Assign ownership of communication</li> </ul>	<ul style="list-style-type: none"> <li>▶ Establish a timeframe for two-way communication</li> <li>▶ Establish a timeframe for developing and maintaining publications / postings</li> </ul>
<p><b>Products</b></p>	<ul style="list-style-type: none"> <li>▶ List of stakeholders grouped by information needs</li> </ul>	<ul style="list-style-type: none"> <li>▶ List of stakeholders with corresponding communication methods</li> </ul>	<ul style="list-style-type: none"> <li>▶ Communication plan that includes stakeholders, responsibilities, and timelines</li> </ul>



Stakeholders	Communication Objectives & Information Needs	Communication Method	POC / Owner Responsible for Communication	Timeframe

This sample template shows the types of information, and a practical layout, that may be helpful to consider when documenting a communication plan

# EQUIPMENT PREFACE

The **Equipment Guidelines** are designed for managers or points of contact who are responsible for making strategic homeland security equipment purchases. The guidelines are part of the “ODP Program Management Handbook” that includes Administrator, Planning, Training, and Exercise guidelines as well. The guidelines are not intended to supplant existing program management systems that are effective. Their purpose is to serve as a resourceful tool for building and improving management frameworks through which equipment-related goals and objectives can be achieved throughout various programs and initiatives. The guidelines outline 11 suggested practices for developing and enhancing program management abilities to help accomplish the following responsibilities:

- Apply the goals and objectives of the State/Urban Area Homeland Security Strategy to homeland security equipment purchases;
- Identify and coordinate with key stakeholders—including private sector partners—to effectively prioritize equipment needs and make purchases;
- Manage a strategic budget and staffing plan;
- Identify alternative resources available to ensure long-term equipment sustainability; and
- Measure the performance toward achieving the goals and objectives of the State/Urban Area Homeland Security Strategy through equipment purchases.

Each suggested practice is supported by a set of activities. It is recommended that the user designate a point of contact responsible for completing the activities. It is also recommended that the user create a calendar with milestones and deadlines for activity completion. The Handbook includes a list of helpful resources available from ODP. **Please consult the glossary for definitions of terms and acronyms used throughout the Handbook.**

Throughout the Handbook, the guidelines direct the equipment POC to communicate and coordinate with the homeland security administrator(s). This refers to the administrator(s) at the State, local, and tribal levels (e.g., the SAA and UASI administrators) who administer homeland security funds and oversee the holistic implementation of homeland security programs and initiatives.



# EQUIPMENT GUIDELINES

EQUIPMENT GUIDELINE SECTIONS

**I. Identifying equipment stakeholders .....Equipment-4**

**II. Assembling an equipment working group.....Equipment-12**

**III. Communicating with equipment stakeholders .....Equipment-16**

**IV. Conducting an assessment to identify equipment needs.....Equipment-20**

**V. Developing an equipment priority purchase list .....Equipment-24**

**VI. Creating and managing an equipment budget .....Equipment-26**

**VII. Identifying staffing needs.....Equipment-30**

**VIII. Incorporating legal and programmatic policies, requirements, standards, and regulations that impact equipment.....Equipment-32**

**IX. Tracking equipment data for performance evaluation and reporting .....Equipment-36**

**X. Evaluating the management of the equipment activities .....Equipment-38**

**XI. Evaluating equipment vendors .....Equipment-42**

## EQUIPMENT GUIDELINES

### I. Identifying equipment stakeholders

To ensure that the equipment needs of key stakeholders from all aspects of homeland security are met, the equipment POC should identify all stakeholders who have a direct or indirect need for or impact on homeland security equipment. (Refer to the Resources section for sample planning documents)

#### STEP 1

☐ **Create a database to maintain equipment stakeholder information**

- ☐ Identify a point of contact responsible for maintaining the database on a regular basis
- ☐ Maintain the following types of stakeholder information:
  - ✓ Name and contact information (e.g., mailing address, email address, phone number, administrative assistant phone number, if applicable)
  - ✓ Area of expertise, if applicable
  - ✓ Capability or service offering as relevant to the equipment
  - ✓ Types of information the stakeholder should receive regarding equipment
  - ✓ Record of equipment information the stakeholder has received

#### STEP 2

☐ **Identify stakeholders who have direct involvement with equipment**

- ☐ Create a list of administrative stakeholders with direct involvement, e.g.:
  - ✓ Key financial staff from the Federal, State, local and tribal levels, e.g.:
    - Financial managers/accountants
    - Auditors
    - Grant administrators who administer other grant programs that complement the homeland security program (e.g., CDC, HRSA, FEMA, DOT, DOE, USDA grants, etc.)
  - ✓ Procurement officers
  - ✓ Public information officers within the SAA office or agency who handle FOIA and press inquiries jointly with the SAA and their staff
  - ✓ Homeland security administrators and deputies from the Federal, State, local and tribal levels
- ☐ Create a list of operational stakeholders with direct involvement, e.g.:
  - ✓ Federal, State, local, and tribal planning, equipment, training, and exercise POCs

EQUIPMENT GUIDELINES

I. Identifying equipment stakeholders

	POC Responsible for Completion	Complete by:	Other Notes
STEP 1			
STEP 2			

## EQUIPMENT GUIDELINES

### I. Identifying equipment stakeholders

#### STEP 3

##### ☐ **Identify Federal, State, local, and tribal stakeholders from first responder disciplines**

- ☐ Consider disciplines such as the following (note: this list is not comprehensive):
  - ✓ Agriculture
  - ✓ Emergency management
  - ✓ Emergency medical service
  - ✓ Fire service
  - ✓ Government administrative
  - ✓ Hazardous materials
  - ✓ Health care
  - ✓ Law enforcement
  - ✓ Military
  - ✓ Public communications
  - ✓ Public health
  - ✓ Public works
- ☐ For each discipline, group stakeholders according to categories such as the following:
  - ✓ Head officials of Federal, State, local, and tribal agencies, departments, organizations, etc., e.g.:
    - Agencies, departments or organizations such as the FBI, National Guard, Coast Guard, Immigrations and Customs, Intelligence Fusion Center, State Police, State Emergency Management Agency, State Health Office, State Agriculture Agency, County Health Office, Victims Services Office
  - ✓ Program and/or operational managers with Federal, State, local, and tribal agencies, departments, organizations, etc.
  - ✓ Administrative POCs with Federal, State, local, and tribal agencies, departments, organizations, etc.
  - ✓ First responder POCs with Federal, State, local, and tribal agencies, departments, organizations, etc.

EQUIPMENT GUIDELINES

I. Identifying equipment stakeholders

	POC Responsible for Completion	Complete by:	Other Notes
STEP 3			



## EQUIPMENT GUIDELINES

### I. Identifying equipment stakeholders

- ☐ For each stakeholder, maintain the following types of information:
  - ✓ Name and contact information (e.g., mailing address, email address, phone number, administrative assistant phone number, if applicable)
  - ✓ Area of expertise, if applicable
  - ✓ Capability or service offering as relevant to equipment
  - ✓ Types of information the stakeholder should receive regarding equipment
  - ✓ Record of equipment information the stakeholder has received

#### STEP 4

##### ☐ **Identify public officials who impact or are affected by equipment at the Federal, State, local, and tribal levels**

- ☐ For each public official, maintain the following types of information:
  - ✓ Name and contact information (e.g., mailing address, email address, phone number, administrative assistant phone number, if applicable)
  - ✓ Types of information the public official should receive regarding equipment
  - ✓ Record of equipment information the public official has received

#### STEP 5

##### ☐ **Identify important stakeholders from the private sector**

- ☐ Consider the following types of private sector stakeholders:
  - ✓ Private sector leaders
  - ✓ Private sector industry POCs
  - ✓ Private sector enterprise POCs
  - ✓ Other important private sector stakeholders (e.g., convention center staff, security staff, hospitality staff)
- ☐ For each stakeholder, maintain the following types of information:
  - ✓ Name and contact information (e.g., mailing address, email address, phone number, administrative assistant phone number, if applicable)
  - ✓ Area of expertise, if applicable
  - ✓ Capability or service offering as relevant to equipment
  - ✓ Types of information the stakeholder should receive regarding equipment
  - ✓ Record of equipment information the stakeholder has received

EQUIPMENT GUIDELINES

I. Identifying equipment stakeholders

	POC Responsible for Completion	Complete by:	Other Notes
STEP 3			
STEP 4			
STEP 5			

## **EQUIPMENT GUIDELINES**

### **I. Identifying equipment stakeholders**

#### **STEP 6**

- ☐ **Identify stakeholders from private volunteer organizations, academia, non-governmental organizations, and Federally sponsored volunteer programs, e.g.:**
  - ☐ Consider the following types of private volunteer organizations, academia, non-governmental organizations, and Federally sponsored volunteer programs:
    - ✓ Americorps
    - ✓ Citizen Corps
    - ✓ Civil Air Patrol
    - ✓ Community and faith-based
    - ✓ Red Cross
    - ✓ Schools and universities
    - ✓ Senior Corps
  - ☐ For each stakeholder, maintain the following types of information:
    - ✓ Name and contact information (e.g., mailing address, email address, phone number, administrative assistant phone number, if applicable)
    - ✓ Area of expertise, if applicable
    - ✓ Capability or service offering as relevant to equipment
    - ✓ Types of information the stakeholder should receive regarding equipment
    - ✓ Record of equipment information the stakeholder has received

#### **STEP 7**

- ☐ **Share stakeholder information with the homeland security program administrator(s) to ensure it is included in the master stakeholder database**

#### **STEP 8**

- ☐ **Update the stakeholder database regularly as new information becomes available**

EQUIPMENT GUIDELINES

I. Identifying equipment stakeholders

	POC Responsible for Completion	Complete by:	Other Notes
STEP 6			
STEP 7			
STEP 8			

## EQUIPMENT GUIDELINES

### II. Assembling an equipment working group

To ensure that key stakeholders are involved in equipment-related activities, the equipment POC should assemble and utilize an equipment working group.

#### STEP 1

☐ **Assess existing equipment working groups**

- ☐ Assess the role and responsibilities of existing equipment working groups
  - ☐ Determine if the group has clear responsibilities, meets regularly, and communicates with the homeland security program administrator(s) and other working groups, including the Senior Advisory Committee and Urban Area Working Group
- ☐ Assess the membership of existing equipment working groups
  - ☐ Determine if the group includes key equipment stakeholders from all relevant jurisdictions, disciplines, and organizations, e.g.:
    - ✓ Stakeholders from the Federal, State, local, and tribal levels
    - ✓ Stakeholders from all relevant disciplines
    - ✓ Stakeholders from the private sector
    - ✓ Technical experts
    - ✓ Stakeholders from private volunteer organizations, non-governmental organizations, and Federally sponsored volunteer organizations
    - ✓ First responders

#### STEP 2

☐ ***If it is determined that a working group does not exist, needs enhanced responsibilities, or needs improved stakeholder representation, establish or reorganize one***

- ☐ Identify the authority of the equipment working group by working with the homeland security program administrator(s), Senior Advisory Committee, and Urban Area Working Group
- ☐ Work with the homeland security program administrator(s) and establish working group objectives, e.g.:
  - ✓ To ensure advance, strategic planning (e.g., preparing for bids in advance of award)
  - ✓ To develop relationships and work with private sector partners
  - ✓ To identify alternative resources for sustaining equipment
  - ✓ To conduct equipment needs assessments
  - ✓ To maintain strong coordination with homeland security stakeholders throughout the State and region

EQUIPMENT GUIDELINES

II. Assembling an equipment working group

	POC Responsible for Completion	Complete by:	Other Notes
STEP 1			
STEP 2			

## **EQUIPMENT GUIDELINES**

### **II. Assembling an equipment working group**

- ☐ Determine the frequency of working group meetings
- ☐ Identify and invite key stakeholders to participate
  - ☐ Ensure broad representation from all jurisdictions, disciplines, and organizations involved in the homeland security program, e.g.:
    - ✓ Stakeholders from the Federal, State, local, and tribal levels
    - ✓ Stakeholders from all relevant disciplines
    - ✓ Stakeholders from the private sector
    - ✓ Technical experts
    - ✓ Stakeholders from private volunteer organizations, non-governmental organizations, and Federally sponsored volunteer organizations
    - ✓ First responders
- ☐ Establish a process for making working group decisions and developing policies
- ☐ Clarify roles and responsibilities of working group members, e.g.:
  - ✓ Identify a chairperson
  - ✓ Identify voting members
  - ✓ Identify a point of contact for recording minutes and developing working group progress reports
  - ✓ Identify a point of contact responsible for meeting logistics (e.g., setting dates, finding locations, etc.)

**EQUIPMENT GUIDELINES**

**II. Assembling an equipment working group**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 2</b>			



## **EQUIPMENT GUIDELINES**

### **III. Communicating with equipment stakeholders**

To maintain regular communication with key equipment stakeholders, the equipment POC should develop and document a communication plan. (Refer to the Resources section for sample planning documents)

#### **STEP 1**

- ☐ **Identify a central point of contact to develop and document the communication plan**

#### **STEP 2**

- ☐ **Review NIMS concepts and principles for managing communications and information**

#### **STEP 3**

- ☐ **Establish communication objectives, e.g.:**
  - ✓ To coordinate planning efforts and avoid duplication
  - ✓ To share information with Federal, State, local, and tribal equipment POCs
  - ✓ To solicit feedback from ODP

#### **STEP 4**

- ☐ **Develop and document a plan for communicating with the Senior Advisory Committee, Urban Area Working Group, other working groups, and homeland security program administrator(s)**
  - ☐ Establish a timeframe for regular communication with the Senior Advisory Committee, Urban Area Working Group, other working groups, and homeland security program administrator(s)
  - ☐ Identify points of contact from the Senior Advisory Committee, Urban Area Working Group, and other working groups and maintain regular communication
  - ☐ Establish a method for communication (e.g., conference calls, email, attendance during meetings)

#### **STEP 5**

- ☐ **Develop and document a plan for communicating with equipment stakeholders who are not represented on working groups**
  - ☐ Identify key stakeholders who should be included in the plan, e.g.:
    - ✓ Public officials at the Federal, State, local, and tribal levels
    - ✓ Head officials of Federal, State, local, and tribal agencies, departments, organizations, etc.
    - ✓ Program and/or operational managers with Federal, State, local, and tribal agencies, departments, organizations, etc.
    - ✓ Administrative POCs with Federal, State, local, and tribal agencies, departments, organizations, etc.
    - ✓ First responder POCs with Federal, State, local, and tribal agencies, departments, organizations, etc.

EQUIPMENT GUIDELINES

III. Communicating with equipment stakeholders

	POC Responsible for Completion	Complete by:	Other Notes
STEP 1			
STEP 2			
STEP 3			
STEP 4			
STEP 5			

## **EQUIPMENT GUIDELINES**

### **III. Communicating with equipment stakeholders**

- ☐ Determine an optimal method for communication, e.g.:
  - ✓ Homeland security program newsletter or mailings
  - ✓ SAA website
  - ✓ Stakeholder and/or partner organization websites
  - ✓ State or regional conferences
  - ✓ Conference calls
  - ✓ Email
  - ✓ Presentations at working group meetings
- ☐ Establish a schedule for regular and frequent communication

EQUIPMENT GUIDELINES

III. Communicating with equipment stakeholders

	POC Responsible for Completion	Complete by:	Other Notes
STEP 5			

## **EQUIPMENT GUIDELINES**

### **IV. Conducting an assessment to identify equipment needs**

To identify factors that affect the equipment and aid in developing equipment purchasing priorities, the equipment POC should conduct an equipment assessment.

#### **STEP 1**

- ☐ **Identify a central point of contact or use the equipment working group to conduct the assessment**

#### **STEP 2**

- ☐ **Establish a timeframe for conducting the assessment**

#### **STEP 3**

- ☐ **Conduct an assessment to identify needed equipment**
  - ☐ Review goals and objectives of the State/Urban Area Homeland Security Strategy
    - ☐ Determine what equipment is necessary to support the goals and objectives of the Strategy
    - ☐ Develop a list of required equipment organized by the goals and objectives of the Strategy
  - ☐ Review State/regional assessments and reports
    - ☐ Develop a list of required equipment organized according to the relevant sections of the assessments
  - ☐ Review legal and programmatic policies, requirements, standards, and regulations that impact equipment needs
  - ☐ Determine if equipment is needed for planning, training, and exercise activities
    - ☐ Contact planning, training, and exercise POCs and determine necessary equipment
  - ☐ Identify training and exercises necessary for equipment purchases
    - ☐ Determine if equipment vendors provide accompanying training
    - ☐ Coordinate with training and exercise POCs in order to update their schedules to reflect equipment purchases
  - ☐ Review new Federal, State, local, and tribal regulations
  - ☐ Identify any other recommended equipment

#### **STEP 4**

- ☐ **Identify legislative and/or political factors that may impact equipment priorities, e.g.:**
  - ✓ Election cycles
  - ✓ Pending legislation
  - ✓ Pending standards
  - ✓ Schedules of legislative sessions

EQUIPMENT GUIDELINES

IV. Conducting an assessment to identify equipment needs

	POC Responsible for Completion	Complete by:	Other Notes
STEP 1			
STEP 2			
STEP 3			
STEP 4			

## **EQUIPMENT GUIDELINES**

### **IV. Conducting an assessment to identify equipment needs**

#### **STEP 5**

- ☐ **Identify seasonal cycles that may require special equipment, e.g.:**
  - ✓ National / State / local / tribal events
  - ✓ Weather events (e.g., hurricanes, tornados)
  - ✓ Wildfires

#### **STEP 6**

- ☐ **Consolidate all information into one list of needed equipment**

**EQUIPMENT GUIDELINES**

**IV. Conducting an assessment to identify equipment needs**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 5</b>			
<b>STEP 6</b>			



## **EQUIPMENT GUIDELINES**

### **V. Developing an equipment priority purchase list**

To ensure progress toward achieving the goals of the State/Urban Area Homeland Security Strategy, the equipment POC should develop a priority purchase list based on the goals and objectives of the State/Urban Area Homeland Security Strategy.

#### **STEP 1**

- ☐ ***Establish a timeframe for developing or updating the equipment priority purchase list***

#### **STEP 2**

- ☐ ***Create a priority purchase list based on the State/Urban Area Homeland Security Strategy and identified needs***
  - ☐ Review available funding sources and understand the budget for equipment purchases
  - ☐ Review equipment needs as identified from the equipment assessment
  - ☐ Review relevant documents and resources to assist in developing priorities, e.g.:
    - ✓ State/Urban Area Homeland Security Strategy
    - ✓ Grant guidance for all open years
    - ✓ Authorized Equipment List
  - ☐ Solicit feedback from first responders
  - ☐ Engage the equipment working group to develop the priorities list
    - ☐ Understand the impact of vendor backlogs and the purchasing timeline
  - ☐ Coordinate priority lists among subgrantees to ensure interoperability and avoid duplication

#### **STEP 3**

- ☐ ***Share the equipment priority list with the homeland security program administrator(s) to influence budget allocations***

**EQUIPMENT GUIDELINES**

**V. Developing an equipment priority purchase list**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			

## **EQUIPMENT GUIDELINES**

### **VI. Creating and managing an equipment budget**

When creating and managing the equipment budget, the equipment POC should use the State/Urban Area Homeland Security Strategy and priority purchase list, in coordination with the homeland security program administrator(s). The equipment POC should track expenditures against the budget.

#### **STEP 1**

- ☐ ***Establish a timeframe for developing the equipment budget***

#### **STEP 2**

- ☐ ***Review the equipment priority purchase list and the objectives of the State/Urban Area Homeland Security Strategy***

#### **STEP 3**

- ☐ ***Develop the budget based on the State/Urban Area Homeland Security Strategy and the equipment priority list***
  - ☐ Develop best and worst case scenario budgets in advance of funding allocations based on previous year budgets and likely funding estimates
  - ☐ Base budget allocations on the State/Urban Area Homeland Security Strategy and equipment priority list
  - ☐ Create the final budget based on actual equipment allocation and other available funding

#### **STEP 4**

- ☐ ***Identify and understand financial management requirements***
  - ☐ Work with procurement officers, financial managers/accountants, auditors, and grant administrators and identify financial management requirements, e.g.:
    - ✓ Applicable OMB circulars
    - ✓ OJP OC Financial Guide
    - ✓ Procurement laws and regulations
    - ✓ State or local financial management requirements
    - ✓ Certified assurances
  - ☐ Review the schedule of all reporting requirements, timeframes, reporting agencies, etc., e.g.:
    - ✓ Required program reports
    - ✓ Required financial reports
    - ✓ Grant certifications and assurances
    - ✓ Funding deadlines and timeframes
    - ✓ The impact of delinquency on future funding and payments

EQUIPMENT GUIDELINES

VI. Creating and managing an equipment budget

	POC Responsible for Completion	Complete by:	Other Notes
STEP 1			
STEP 2			
STEP 3			
STEP 4			

## **EQUIPMENT GUIDELINES**

### **VI. Creating and managing an equipment budget**

#### **STEP 5**

- ☐ ***Present the budget to homeland security program administrator(s) for monitoring purposes***

#### **STEP 6**

- ☐ ***Procure equipment based on priority list***
  - ☐ Provide procurement officers with all information needed to order equipment
  - ☐ Determine which equipment can be purchased in accordance with available funding and allowable expenditures
  - ☐ Maintain a timeline for the equipment purchasing process, including deadlines and requirements
  - ☐ Coordinate purchases across jurisdictions to maximize purchasing power and ensure interoperability
  - ☐ Distribute and provide training on equipment in coordination with the training POC

#### **STEP 7**

- ☐ ***Track funding expenditures against budgeted amounts and compare with stated priorities and goals***
  - ☐ Identify a central point of contact to monitor the budget and ongoing expenditures on a regular basis
  - ☐ Develop a database/spreadsheet to track the following information regarding funding:
    - ✓ POC responsible for managing funds
    - ✓ Amount of funding award
    - ✓ Source of funding award (e.g., SHSP, LETPP, UASI, etc.)
    - ✓ Allowable funding expenditures
    - ✓ Conditions or restrictions on expenditures
    - ✓ Expenditures and draw down against funding source (e.g., procurements)
  - ☐ Complete program reports on a regular basis to ensure that expenditures have been tied to program performance and agreed upon deliverables/projects
  - ☐ Complete financial reports on a regular basis to ensure financial management compliance and appropriate allocation of funds to agreed upon deliverables/projects
  - ☐ Submit all completed reports to the program administrator(s)

**EQUIPMENT GUIDELINES**

**VI. Creating and managing an equipment budget**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 5</b>			
<b>STEP 6</b>			
<b>STEP 7</b>			

## **EQUIPMENT GUIDELINES**

### **VII. Identifying staffing needs**

To ensure that all staffing needs are met, the equipment POC should identify the workload and communicate staffing needs to the homeland security program administrator(s).

#### **STEP 1**

- ☐ ***Establish a timeframe for identifying or updating staffing needs***

#### **STEP 2**

- ☐ ***Identify staff and skills needed to sustain the program***
  - ☐ Identify administrative and operational staff and skills needed to implement equipment-related activities, including appropriate personnel to monitor grants

#### **STEP 3**

- ☐ ***Assess current staff availability***
  - ☐ Identify full-time and detailed, part-time staff available, including contractual support

#### **STEP 4**

- ☐ ***Identify staffing gaps***

#### **STEP 5**

- ☐ ***Communicate staffing needs to the homeland security program administrator(s) to determine if funding is available for staffing***

#### **STEP 6**

- ☐ ***Identify alternative methods to sustain staffing***
  - ☐ Consider other Federal, State, local, and tribal funding sources as well as volunteers, interns, etc.

EQUIPMENT GUIDELINES

VII. Identifying staffing needs

	POC Responsible for Completion	Complete by:	Other Notes
STEP 1			
STEP 2			
STEP 3			
STEP 4			
STEP 5			
STEP 6			



## **EQUIPMENT GUIDELINES**

### **VIII. Incorporating legal and programmatic policies, requirements, standards, and regulations that impact equipment**

To ensure that the equipment program is in compliance with legal and programmatic policies, requirements, standards, and regulations, the equipment program POC should understand and have a record of all legal and programmatic policies, requirements, standards, and regulations that impact equipment.

#### **STEP 1**

- ☐ ***Collect information regarding legal and programmatic policies, requirements, standards, and regulations from the homeland security program administrator(s)***

#### **STEP 2**

- ☐ ***Determine which laws, statutes, policies, requirements, standards, and regulations affect equipment***
  - ☐ Review the legal and programmatic policies, requirements, standards and regulations information provided by the homeland security program administrator(s), e.g.:
    - ✓ CIPP
    - ✓ EMAP
    - ✓ HSEEP
    - ✓ HSGP grant guidance
    - ✓ HSPD-5
    - ✓ HSPD-7
    - ✓ HSPD-8
    - ✓ LETPP
    - ✓ National Planning Scenarios
    - ✓ National Preparedness Goal
    - ✓ National Preparedness Guidance
    - ✓ National Priorities
    - ✓ NIMS
    - ✓ NRP
    - ✓ OJP OC Financial Guide
    - ✓ OMB Circulars
    - ✓ Target Capabilities List
    - ✓ Universal Task List

**EQUIPMENT GUIDELINES**

**VIII. Incorporating legal and programmatic policies, requirements, standards, and regulations that impact equipment**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			

## EQUIPMENT GUIDELINES

### VIII. Incorporating legal and programmatic policies, requirements, standards, and regulations that impact equipment

#### STEP 3

- ☐ **Create a spreadsheet and document specific sections that impact equipment, e.g.:**
  - ✓ Page numbers/website addresses of relevant sections
  - ✓ Critical activities and dates which the laws, statutes, policies, requirements, standards, and regulations impact
  - ✓ POCs for questions regarding the policies, requirements, standards, and regulations

#### STEP 4

- ☐ **Identify and document any additional equipment-specific laws, policies, requirements, standards, and regulations, e.g.:**
  - ✓ Procurement laws and regulations
  - ✓ Contractor/vendor laws and regulations
  - ✓ Inventory Management Regulations
  - ✓ AEL specifications

#### STEP 5

- ☐ **Disseminate the legal and programmatic information to equipment stakeholders**
  - ☐ Identify administrative and operational equipment stakeholders who should receive the information
    - ☐ Consider stakeholders from all jurisdictions and disciplines involved in equipment-related activities
  - ☐ Determine a method for dissemination, e.g.:
    - ✓ Post on website
    - ✓ Email
    - ✓ Hard copy

#### STEP 6

- ☐ **Monitor new laws, statutes, policies, requirements, standards, and regulations**
  - ☐ Collaborate with existing monitoring efforts (e.g., Inspector General)
  - ☐ Develop a schedule for reviewing new and/or amended laws, statutes, policies, requirements, standards and regulations
  - ☐ Work with a State, local, or tribal legal department, officer, or attorney to review and understand new and/or amended laws, statutes, policies, requirements, standards and regulations
  - ☐ Update legal and programmatic information as needed and disseminate to stakeholders

**EQUIPMENT GUIDELINES**

**VIII. Incorporating legal and programmatic policies, requirements, standards, and regulations that impact equipment**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 3</b>			
<b>STEP 4</b>			
<b>STEP 5</b>			
<b>STEP 6</b>			

## **EQUIPMENT GUIDELINES**

### **IX. Tracking equipment data for performance evaluation and reporting**

To aid in measuring performance and in creating reports, the equipment POC should track equipment data.

#### **STEP 1**

☐ **Identify data that should be tracked to evaluate the management of equipment activities**

- ☐ Work with the homeland security program administrator(s) and identify data that should be tracked for evaluations and reports, e.g.:
  - ✓ Equipment purchases
  - ✓ Equipment distribution dates
  - ✓ Equipment inventory and inventory schedules
    - Inventory management requirements identified in grant guidance, Federal/State/local/tribal laws, and financial guidelines
    - Equipment maintenance/calibration/“shelf life” requirements
  - ✓ Equipment operator training
  - ✓ Equipment effectiveness
- ☐ Review the State/Urban Area Homeland Security Strategy and identify data that should be tracked to evaluate performance (e.g., spending against requirements, Strategy, etc.)
- ☐ Review programmatic policies, requirements, standards, and regulations and identify specific equipment data that should be tracked to evaluate performance
- ☐ Coordinate with administrative staff (e.g., financial management staff) and determine data that should be tracked to evaluate performance
- ☐ Track equipment vendor information, e.g.:
  - ✓ Name and contact information
  - ✓ Contract mechanisms (e.g., availability through Blanket Purchase Agreements)
  - ✓ References

#### **STEP 2**

☐ **Establish a process to track data**

- ☐ Identify a central point of contact to collect data for the homeland security tracking system
- ☐ Coordinate with the homeland security program administrator(s) and establish a timeframe for updating equipment data in the tracking system
- ☐ Develop a schedule to ensure equipment data is updated with changes

#### **STEP 3**

☐ **Understand and comply with reporting deadlines (e.g. Federal, State, local, and tribal)**

EQUIPMENT GUIDELINES

IX. Tracking equipment data for performance evaluation and reporting

	POC Responsible for Completion	Complete by:	Other Notes
STEP 1			
STEP 2			
STEP 3			

## EQUIPMENT GUIDELINES

### X. Evaluating the management of equipment activities

To identify performance gaps and ways to improve the management of equipment activities, the equipment POC should measure performance through evaluations on a regular basis.

#### STEP 1

##### ☐ **Establish criteria for evaluating the management of equipment activities**

- ☐ Review the State/Urban Area Homeland Security Strategy for evaluation requirements and potential evaluation criteria
- ☐ Solicit input from multiple equipment stakeholders and develop evaluation criteria, e.g.:
  - ✓ Making purchases based on Strategy goals and objectives
  - ✓ Ensuring interoperability
  - ✓ Efforts to address previous performance gaps
  - ✓ Ensuring that training was available for equipment
  - ✓ Efforts to ensure long-term equipment sustainability
  - ✓ Coordination and communication between planning, equipment, training, and exercise stakeholders
  - ✓ Ability to meet budget
  - ✓ Ability to track equipment finances
  - ✓ Ability to track equipment data
  - ✓ Ability to maintain staffing levels and skills
  - ✓ Compliance with legal and programmatic policies, requirements, standards, and regulations
  - ✓ Ability to generate necessary reports

#### STEP 2

##### ☐ **Establish a timeframe for conducting evaluations**

- ☐ Review requirements and establish a schedule for evaluating management performance
- ☐ Document and communicate the schedule to equipment stakeholders

#### STEP 3

##### ☐ **Collect data needed for the management performance evaluation**

- ☐ Develop a standard approach for soliciting input (e.g., surveys, interviews, etc.)

**EQUIPMENT GUIDELINES**

**X. Evaluating the management of equipment activities**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			



## **EQUIPMENT GUIDELINES**

### **X. Evaluating the management of equipment activities**

#### **STEP 4**

##### **☐ Evaluate data**

- ☐ Engage the equipment working group to review data
- ☐ Determine if the equipment management criteria were met, e.g.:
  - ✓ Made purchases based on Strategy goals and objectives
  - ✓ Ensured interoperability
  - ✓ Addressed previous performance gaps
  - ✓ Ensured that training was available for new equipment
  - ✓ Made significant progress toward ensuring long-term equipment sustainability
  - ✓ Ensured coordination and communication with planning, training, and exercise stakeholders
  - ✓ Met the budget
  - ✓ Successfully tracked finances
  - ✓ Successfully tracked and applied equipment data
  - ✓ Maintained necessary staffing levels
  - ✓ Complied with legal and programmatic policies, requirements, standards, and regulations
  - ✓ Generated necessary reports

#### **STEP 5**

- ☐ **Analyze evaluation results, document performance gaps, and share information with the homeland security program administrator(s) to aid in the overall program evaluation**

#### **STEP 6**

##### **☐ Develop a plan to address performance gaps**

- ☐ Create a task list, timeframe, and assign responsibilities for addressing performance gaps

#### **STEP 7**

- ☐ **Share evaluation results with key stakeholders who will be involved in subsequent year planning**

EQUIPMENT GUIDELINES

X. Evaluating the management of equipment activities

	POC Responsible for Completion	Complete by:	Other Notes
STEP 4			
STEP 5			
STEP 6			
STEP 7			

## **EQUIPMENT GUIDELINES**

### **XI. Evaluating equipment vendors**

To help ensure that vendors are providing effective products and services, the equipment POC should evaluate the performance of vendors and document the findings for future reference.

#### **STEP 1**

- ☐ ***Establish a timeframe for evaluating equipment vendors***

#### **STEP 2**

- ☐ ***Identify a central point of contact to evaluate equipment vendors***

#### **STEP 3**

- ☐ ***Establish vendor evaluation criteria***
  - ☐ Work with the homeland security program administrator(s) and the equipment working group and establish criteria, e.g.:
    - ✓ Equipment delivery times
    - ✓ Quality of training provided
    - ✓ Quality of customer service
    - ✓ Ability to remain within budget
    - ✓ Overall client satisfaction with performance

#### **STEP 4**

- ☐ ***Conduct evaluations***
  - ☐ Engage the equipment working group to conduct evaluations
  - ☐ Determine if vendors met criteria, e.g.:
    - ✓ Delivered equipment on time
    - ✓ Provided timely, high quality training on new equipment
    - ✓ Provided high quality customer service
    - ✓ Remained within budget
    - ✓ Satisfied client needs

#### **STEP 5**

- ☐ ***Document performance gaps and/or strengths and communicate them to the homeland security program administrator(s) to aid in the overall program evaluation***

#### **STEP 6**

- ☐ ***Share information with stakeholders who will need future contract services***

EQUIPMENT GUIDELINES

XI. Evaluating equipment vendors

	POC Responsible for Completion	Complete by:	Other Notes
STEP 1			
STEP 2			
STEP 3			
STEP 4			
STEP 5			
STEP 6			



Use these working calendars to create and track equipment milestones and deadlines.

January

Sunday					
Monday					
Tuesday					
Wednesday					
Thursday					
Friday					
Saturday					

Equipment Calendar-2

# March

[illegible]



# April

Sunday					
Monday					
Tuesday					
Wednesday					
Thursday					
Friday					
Saturday					

# May

[illegible]

Equipment Calendar-6

## July

Sunday						
Monday						
Tuesday						
Wednesday						
Thursday						
Friday						
Saturday						

Sunday					
Monday					
Tuesday					
Wednesday					
Thursday					
Friday					
Saturday					

# September

[illegible]

Equipment Calendar-10

# November

[illegible]



[illegible]

# ODP and Other Resources Available to Support Equipment

Resource	Access	Brief Description
<b>Contacts</b>		
Centralized Scheduling and Information Desk (CSID)	The CSID toll-free number is 800-368-6498. The On-Site Call Desk is staffed weekdays from 8:00 a.m. to 7:00 p.m. Eastern Standard Time. On weekends, holidays, and after business hours, callers can leave a voice message. CSID support is also accessible via email at askcsid@dhs.gov.	The CSID is a one-stop-shop for information on homeland security terrorism preparedness events for the federal, state, and local communities. In addition, the CSID schedules ODP training with the emergency responder community and maintains interagency homeland security exercise schedules. The CSID provides a critical tool to the federal agencies in coordinating, consolidating, and monitoring Federal homeland security terrorism preparedness events in the United States.
<b>Technical Assistance</b>		
Domestic Preparedness Equipment Technical Assistance Program (DPETAP)	<p>The Domestic Preparedness Equipment Technical Assistance Program and Catalog can be accessed through the following web address:  <a href="http://www.ojp.usdoj.gov/odp/equipment_dpeta.htm">http://www.ojp.usdoj.gov/odp/equipment_dpeta.htm</a>.</p> <p>For information on the Domestic Preparedness Equipment Technical Assistance Program, call the ODP Help Line at (800) 368-6498 or email <a href="mailto:askcsid@dhs.gov">askcsid@dhs.gov</a>.</p>	The ODP Domestic Preparedness Equipment Technical Assistance Program (DPETAP) is a comprehensive national technical assistance program for emergency responders operated in partnership with the U.S. Army's Pine Bluff Arsenal (PBA). DPETAP provides detailed technical information and hands-on equipment operation and maintenance training to assist responders to better select, operate, and maintain their radiological, chemical and biological detection and response equipment. DPETAP Mobile Technical Assistance Teams provide, at no cost to the jurisdiction, on-site technical assistance and training to assist emergency response personnel in the operation and maintenance of their domestic preparedness equipment.

Resource	Access	Brief Description
<b>Technical Assistance</b>		
Homeland Security Preparedness Technical Assistance Program	<p>ODP technical assistance is provided without charge to eligible states and/or local jurisdictions. For information on the Homeland Security Preparedness Technical Assistance Program, call the ODP Help Line at (800) 368-6498 or email <a href="mailto:askcsid@dhs.gov">askcsid@dhs.gov</a>.</p> <p>ODP is pleased to announce the availability of the Homeland Security Preparedness Technical Assistance Program Catalog at the following web address:  <a href="http://www.ojp.usdoj.gov/odp/docs/ODP_TA_Catalog.pdf">http://www.ojp.usdoj.gov/odp/docs/ODP_TA_Catalog.pdf</a></p> <p>If you are unable to download the catalog from the website, you may request a copy of the catalog by contacting the ODP Centralized Scheduling and Information Desk (CSID).</p>	<p>ODP's Homeland Security Preparedness Technical Assistance (TA) Program provides direct assistance to state and local jurisdictions to improve their ability to prevent, respond to, and recover from threats or acts of terrorism involving chemical, biological, radiological, nuclear, or explosive (CBRNE) weapons. TA provides a process to help resolve a problem and/or create innovative approaches. All TA services are available to eligible recipients at no charge.</p> <p>TA programs in place or currently under development within ODP include:</p> <ul style="list-style-type: none"> <li>■ <b>Enhancing Grants Management Capacities of State Administrative Agencies</b></li> <li>■ <b>Homeland Security Assessment and Strategy Technical Assistance</b></li> <li>■ <b>Initial Strategy Implementation Plan (ISIP) Technical Assistance</b></li> <li>■ <b>Domestic Preparedness Equipment Technical Assistance Program (DPETAP)</b></li> <li>■ <b>Terrorism Early Warning Group Replication</b></li> <li>■ <b>Interoperable Communication Technical Assistance Program (ICTAP)</b></li> <li>■ <b>Port and Mass Transit Planning Technical Assistance</b></li> <li>■ <b>Rapid Assistance Team Technical Assistance</b></li> <li>■ <b>General Technical Assistance</b></li> <li>■ <b>Prevention Technical Assistance</b></li> <li>■ <b>Plans and Planning Synchronization Technical Assistance</b></li> </ul>
Rapid Assistance Teams (RAT)	<p>For information on the Rapid Assistance Teams, call the ODP Help Line at (800) 368-6498 or email <a href="mailto:askcsid@dhs.gov">askcsid@dhs.gov</a>.</p>	<p>The ODP Rapid Assistance Team (RAT) provides telephone and on-site assistance to State Administrative Agencies (SAAs) in identifying statewide and/or local equipment needs, developing state and/or local equipment procurement plans, preparing grant application documents (e.g., program narratives, budgets, etc.) and other related support. The RAT is staffed by contract personnel who have direct experience with implementing ODP grants at the state and local level. If necessary, RAT personnel can be dispatched on short notice to help applicants meet deadlines for funding provided through ODP grant programs.</p>

Resource	Access	Brief Description
	Guidance & Documents	
Authorized Equipment List (AEL)	Please reference specific program guidelines to review the list of authorized equipment eligible for purchase through that particular grant program.	The Authorized Equipment List (AEL) for ODP grants was derived from the Standard Equipment List (SEL), which was developed by the Interagency Board (IAB) for Equipment Standardization and Interoperability. The Authorized Equipment List has expanded beyond the initial focus on personal protective equipment, detection equipment, and communication equipment and is often updated for new grant solicitations.
Interoperable Communications User's Handbook	The Interoperable Communications User's Handbook can be accessed through the following web address: <a href="http://www.ojp.usdoj.gov/odp/docs/acu_trp1000.pdf">http://www.ojp.usdoj.gov/odp/docs/acu_trp1000.pdf</a>	The handbook is intended to serve as a reference for the pilot sites selected under a pilot program interoperable communications system, called the ACU/TRP-1000, a communications device for those who must establish a link with other local, state, and Federal agencies at the scene of a multi-agency response incident
ODP Online Library	The ODP Online Library can be accessed through the following web address: <a href="http://www.ojp.usdoj.gov/odp/library/bulletins.htm">http://www.ojp.usdoj.gov/odp/library/bulletins.htm</a>	The ODP Online Library offers access to various guidance, documents, and other materials that can provide information and assist state and local jurisdictions in improving their ability to prevent, respond to, and recover from threats or acts of terrorism. The Library contains the following types of resources: <ul style="list-style-type: none"> <li>■ Course Catalogs</li> <li>■ Information Bulletins</li> <li>■ Fact Sheets (Consortium Members and General)</li> <li>■ Training</li> <li>■ Reference Documents</li> <li>■ Presidential Decision Directives</li> <li>■ Grant Guidance and Information</li> </ul>
Standardized Equipment List (SEL)	The Standardized Equipment List can be accessed through the following web address: <a href="http://www.iab.gov">http://www.iab.gov</a>	

Resource	Access	Brief Description
	Tools/Programs	
Equipment Purchase Assistance Program (EPAP)	For information on the Equipment Purchase Assistance Program, call the ODP Help Line at (800) 368-6498 or email <a href="mailto:askcsid@dhs.gov">askcsid@dhs.gov</a> .	The Equipment Purchase Assistance Program provides the opportunity for authorized federal, state, and local emergency response organizations to procure commercially available emergency response equipment through agreements with the Defense Logistics Agency (DLA), Defense Supply Center Philadelphia (DSCP), and Combat Support and Logistics Equipment/NBC, Marine Corps Systems Command (MCSC). The equipment offered through these programs includes a wide array of basic defensive equipment and commercial, off-the-shelf first responder equipment allowable under ODP's Homeland Security Grant Programs. Advantages include streamlined procurement, as well as guaranteed product warranties and delivery time lines.
Homeland Defense Equipment Reuse (HDER) Program	The Homeland Defense Equipment Reuse Program can be accessed through the following web address: <a href="http://www.ojp.usdoj.gov/odp/equipment_header.htm">http://www.ojp.usdoj.gov/odp/equipment_header.htm</a>	<p>The Homeland Defense Equipment (HDER) Program is a unique partnership between the U.S. Department of Homeland Security's Office for Domestic Preparedness, the U.S. Department of Energy, the U.S. Navy and the Health Physics Society. The goal of the HDER Program is to provide surplus radiological detection instrumentation and other equipment, as well as training and long-term technical support, to emergency responder agencies to enhance their homeland security preparedness capabilities.</p> <p>Through the HDER program, responder agencies across the nation now have access to a substantial inventory of radiological detection instrumentation and other equipment that is no longer required by the Federal government. This equipment is rehabilitated and provided at no cost to the recipient.</p>
Information Technology and Evaluation Program (ITEP)	The Information Technology and Evaluation Program can be accessed through the following web address: <a href="http://www.ojp.usdoj.gov/odp/equipment_itep.htm">http://www.ojp.usdoj.gov/odp/equipment_itep.htm</a>	ITEP is a competitive program that fosters and evaluates uses of existing, "state-of-the-market" information technology that will remove barriers and improve information sharing and integration.
Lessons Learned Information Sharing (LLIS)	The LLIS network can be accessed through the following web address: <a href="https://www.llis.dhs.gov/">https://www.llis.dhs.gov/</a>	The Lessons Learned Information Sharing (LLIS) is a national, online network of best practices and lessons learned designed to help homeland security responders, planners, and healthcare professionals prevent, prepare for, and respond to terrorism.

Resource	Access	Brief Description
<b>Tools/Programs</b>		
National Programs portal	The National Programs portal can be accessed through the following web address: <a href="http://www.ojp.usdoj.gov/odp/assessments/hspd8.htm">http://www.ojp.usdoj.gov/odp/assessments/hspd8.htm</a>	The National Programs portal provides information and links for the following National Programs: <ul style="list-style-type: none"> <li>■ National Incident Management System</li> <li>■ National Response Plan</li> <li>■ National Preparedness Goal</li> <li>■ Capabilities-Based Planning Tools (National Planning Scenarios, Target Capabilities List, Universal Task List)</li> <li>■ Homeland Security Grant Program Guidance</li> <li>■ National Preparedness Guidance</li> </ul>
Prepositioned Equipment Program (PEP)	More information about the Prepositioned Equipment Program can be accessed through the following web address: <a href="http://www.ojp.usdoj.gov/odp/equipment_pep.htm">http://www.ojp.usdoj.gov/odp/equipment_pep.htm</a>	Although many state and local jurisdictions have purchased new equipment in the aftermath of the September 11, 2001 terrorist attacks, it is unrealistic to expect that all jurisdictions can be fully equipped to provide an adequate, sustained response to a major terrorist incident. To meet this critical need, ODP launched the Prepositioned Equipment Program (PEP). PEP consists of standardized equipment sets that are prepositioned in selected geographic areas to permit rapid deployment to states and localities whose jurisdictions have become the target of WMD terrorism. Highly specialized equipment, as well as off-the-shelf items are stored in 11 pods dispersed nationwide and are transportable by land or air within 1 to 12 hours after the initial request is made by appropriate authorities and approved by DHS. Through formal request and deployment procedures, the Federal Government will transfer custody of these assets to specifically designated state or local officials.
Responder Knowledge Base (RKB)	The Responder Knowledge Base can be accessed through the following web address: <a href="http://www2.rkb.mipt.org/">http://www2.rkb.mipt.org/</a>	The Responder Knowledge Base (RKB) provides emergency responders with a single source for integrated information on available equipment, equipment certification and standards, equipment training, cost resources, and reviews from other equipment users. The Responder Knowledge Base will also include the InterAgency Board's Standardized Equipment List (SEL) and ODP's Authorized Equipment List (AEL).

Resource	Access	Brief Description
	Other Resources	
Federal Emergency Management Agency (FEMA)	FEMA can be accessed through the following web address: <a href="http://www.fema.gov">http://www.fema.gov</a>	
Office of Justice Programs Financial Guide	Office of Justice Programs Financial Guide can be accessed through the following web address: <a href="http://www.ojp.usdoj.gov/FinGuide/">http://www.ojp.usdoj.gov/FinGuide/</a>	
Office of Management and Budget (OMB)	OMB circulars can be accessed through the following web address: <a href="http://www.whitehouse.gov/omb/circulars/index.html">http://www.whitehouse.gov/omb/circulars/index.html</a>	

## Identifying Stakeholders – Sample Templates

Administrative Stakeholders with Direct Involvement		
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	Information Stakeholder has Received

These sample templates show the types of categories that may be helpful to consider when identifying and tracking stakeholders

Operational Stakeholders with Direct Involvement		
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	Information Stakeholder has Received



<b>First Responder Discipline Stakeholders</b>		
Discipline	▶ Emergency Management, e.g.	
Stakeholder Type (check one)	<input type="checkbox"/> Head official of Federal, State, local, and tribal emergency management agencies, departments, organizations, etc. <input type="checkbox"/> Program and / or operational manager with Federal, State, local, and tribal emergency management agencies, departments, organizations, etc. <input type="checkbox"/> Administrative POC with Federal, State, local, and tribal emergency management agencies, departments, organizations, etc. <input type="checkbox"/> First responder POC with Federal, State, local, and tribal emergency management agencies, departments, organizations, etc.	
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	▶ Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	▶ Information Stakeholder has Received

<b>Public Officials who Impact Homeland Security</b>		
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	▶ Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	▶ Information Stakeholder has Received

Private Sector Stakeholders		
Discipline	▶ Emergency Management, e.g.	
Stakeholder Type (check one)	<input type="checkbox"/> Private Sector Leader <input type="checkbox"/> Private Sector Industry POC <input type="checkbox"/> Private Sector Enterprise POC <input type="checkbox"/> Other	
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	▶ Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	▶ Information Stakeholder has Received

Stakeholders from Private Volunteer Organizations		
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	▶ Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	▶ Information Stakeholder has Received

<b>Academia Stakeholders</b>		
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	Information Stakeholder has Received

<b>Stakeholders from Non-governmental Organizations</b>		
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	Information Stakeholder has Received

Stakeholders from Federally Sponsored Volunteer Programs		
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	Information Stakeholder has Received



# Communicating with Stakeholders – Sample Planning Document

Identify Stakeholders	Map Stakeholders to Communication Objectives	Determine Optimal Communication Method	Establish Schedule For Communication
<b>Think about this...</b> <ul style="list-style-type: none"> <li>▶ Which stakeholders need to be included in the communication plan?</li> </ul>	<ul style="list-style-type: none"> <li>▶ What information does this stakeholder need to hear?</li> <li>▶ What information needs to be gathered from this stakeholder?</li> </ul>	<ul style="list-style-type: none"> <li>▶ What method should be used to deliver information?</li> <li>▶ Who will deliver the information?</li> <li>▶ What method should be used to collect information?</li> <li>▶ Who will collect the information?</li> </ul>	<ul style="list-style-type: none"> <li>▶ What is the appropriate timing for information sharing?</li> </ul>
<b>Activities</b> <div data-bbox="730 1638 909 1890">It may be helpful to reference the list of stakeholders that was developed</div>	<ul style="list-style-type: none"> <li>▶ Identify which stakeholders should be included in the communication plan</li> </ul> <div data-bbox="876 1029 1006 1344">Consider the example objectives provided in the Handbook</div>	<ul style="list-style-type: none"> <li>▶ Determine methods for communication, e.g.: <ul style="list-style-type: none"> <li>– Homeland security program newsletter or mailings</li> <li>– SAA website</li> <li>– Stakeholder and / or partner organization websites</li> <li>– State or regional conferences</li> <li>– Conference calls</li> <li>– Email</li> <li>– Attendance at working group meetings</li> </ul> </li> <li>▶ Assign optimal methods to each stakeholder based on categories of information needs</li> <li>▶ Assign ownership of communication</li> </ul>	<ul style="list-style-type: none"> <li>▶ Establish a timeframe for two-way communication</li> <li>▶ Establish a timeframe for developing and maintaining publications / postings</li> </ul>
<b>Products</b>	<ul style="list-style-type: none"> <li>▶ List of stakeholders</li> </ul>	<ul style="list-style-type: none"> <li>▶ List of stakeholders with corresponding communication methods</li> </ul>	<ul style="list-style-type: none"> <li>▶ Communication plan that includes stakeholders, responsibilities, and timelines</li> </ul>

Stakeholders	Communication Objectives & Information Needs	Communication Method	POC / Owner Responsible for Communication	Timeframe

This sample template shows the types of information, and a practical layout, that may be helpful to consider when documenting a communication plan

# TRAINING PREFACE

The **Training Guidelines** are designed for managers or points of contact who are responsible for implementing activities associated with training. The guidelines are part of the “ODP Program Management Handbook” that includes Administrator, Planning, Equipment, and Exercise guidelines as well. The guidelines are not intended to supplant existing program management systems that are effective. Their purpose is to serve as a resourceful tool for building and improving management frameworks through which training-related goals and objectives can be achieved throughout various programs and initiatives. The guidelines outline 12 suggested practices for developing and enhancing program management abilities to help accomplish the following responsibilities:

- Apply the goals and objectives of the State/Urban Area Homeland Security Strategy throughout homeland security training activities;
- Assess the preparedness environment and identify training priorities;
- Identify and coordinate with key stakeholders—including private sector partners—to effectively plan and implement homeland security training activities;
- Manage a strategic budget and staffing plan for training activities;
- Identify alternative resources available to ensure long-term sustainability and institutionalization of training efforts; and
- Measure the performance toward increasing capabilities and achieving the goals and objectives of the State/Urban Area Homeland Security Strategy through training activities.

Each suggested practice is supported by a set of activities. It is recommended that the user designate a point of contact responsible for completing the activities. It is also recommended that the user create a calendar with milestones and deadlines for activity completion. The Handbook includes a list of helpful resources available from ODP. **Please consult the glossary for definitions of terms and acronyms used throughout the Handbook.**

Throughout the Handbook, the guidelines direct the training POC to communicate and coordinate with the homeland security administrator(s). This refers to the administrator(s) at the State, local, and tribal levels (e.g., the SAA and UASI administrators) who administer homeland security funds and oversee the holistic implementation of homeland security programs and initiatives.





# TRAINING GUIDELINES

## TRAINING GUIDELINE SECTIONS

<b>I. Identifying training stakeholders .....</b>	<b>Training-4</b>
<b>II. Assembling a training working group.....</b>	<b>Training-12</b>
<b>III. Communicating with training stakeholders .....</b>	<b>Training-16</b>
<b>IV. Conducting an assessment to develop training priorities .....</b>	<b>Training-20</b>
<b>V. Developing a training approach .....</b>	<b>Training-22</b>
<b>VI. Creating and managing a training budget .....</b>	<b>Training-24</b>
<b>VII. Identifying staffing needs.....</b>	<b>Training-28</b>
<b>VIII. Identifying non-monetary resources and promising practices to support training .....</b>	<b>Training-30</b>
<b>IX. Incorporating legal and programmatic policies, requirements, standards, and regulations that impact training .....</b>	<b>Training-34</b>
<b>X. Tracking training data for performance evaluation and reporting.....</b>	<b>Training-38</b>
<b>XI. Evaluating the management of training activities.....</b>	<b>Training-40</b>
<b>XII. Evaluating training providers.....</b>	<b>Training-44</b>

## TRAINING GUIDELINES

### I. Identifying training stakeholders

To ensure that training activities involve key stakeholders, the training POC should identify all stakeholders who have a direct or indirect impact on training. (Refer to the Resources section for sample planning documents)

#### STEP 1

☐ **Create a database to maintain training stakeholder information**

- ☐ Identify a point of contact responsible for maintaining the database on a regular basis
- ☐ Maintain the following types of stakeholder information:
  - ✓ Name and contact information (e.g., mailing address, email address, phone number, administrative assistant phone number, if applicable)
  - ✓ Area of expertise, if applicable
  - ✓ Capability or service offering as relevant to training
  - ✓ Training activities in which the stakeholder should be involved
  - ✓ Record of homeland security training activities in which the stakeholder has been involved
  - ✓ Types of information the stakeholder should receive regarding training
  - ✓ Record of training information the stakeholder has received

#### STEP 2

☐ **Identify stakeholders who have direct involvement with training implementation**

- ☐ Create a list of administrative stakeholders with direct involvement, e.g.:
  - ✓ Key financial staff from the Federal, State, local, and tribal levels, e.g.:
    - Financial managers/accountants
    - Auditors
    - Grant administrators who administer other grant programs that complement the homeland security program (e.g., CDC, HRSA, FEMA, DOT, DOE, USDA grants, etc.)
  - ✓ Procurement officers
  - ✓ Public information officers within the SAA office or agency who handle FOIA and press inquiries jointly with the SAA and their staff
  - ✓ Homeland security administrators and deputies from the Federal, State, local, and tribal levels
- ☐ Create a list of operational stakeholders with direct involvement, e.g.:
  - ✓ Federal, State, local, and tribal planning, equipment, training, and exercise POCs

TRAINING GUIDELINES

I. Identifying training stakeholders

	POC Responsible for Completion	Complete by:	Other Notes
STEP 1			
STEP 2			

## TRAINING GUIDELINES

### I. Identifying training stakeholders

#### STEP 3

##### ☐ **Identify Federal, State, local, and tribal stakeholders from first responder disciplines**

- ☐ Consider disciplines such as the following (note: this list is not comprehensive):
  - ✓ Agriculture
  - ✓ Emergency management
  - ✓ Emergency medical service
  - ✓ Fire service
  - ✓ Government administrative
  - ✓ Hazardous materials
  - ✓ Health care
  - ✓ Law enforcement
  - ✓ Military
  - ✓ Public communications
  - ✓ Public health
  - ✓ Public works
- ☐ For each discipline, group stakeholders according to categories such as the following:
  - ✓ Head officials of Federal, State, local, and tribal agencies, departments, organizations, etc., e.g.:
    - Agencies, departments or organizations such as the FBI, National Guard, Coast Guard, Immigrations and Customs, Intelligence Fusion Center, State Police, State Emergency Management Agency, State Health Office, State Agriculture Agency, County Health Office, Victims Services Office
  - ✓ Program and/or operational managers with Federal, State, local, and tribal agencies, departments, organizations, etc.
  - ✓ Administrative POCs with Federal, State, local, and tribal agencies, departments, organizations, etc.
  - ✓ First responder POCs with Federal, State, local, and tribal agencies, departments, organizations, etc.
- ☐ For each stakeholder, maintain the following types of information:
  - ✓ Name and contact information (e.g., mailing address, email address, phone number, administrative assistant phone number, if applicable)
  - ✓ Area of expertise, if applicable
  - ✓ Capability or service offering as relevant to training

TRAINING GUIDELINES

I. Identifying training stakeholders

	POC Responsible for Completion	Complete by:	Other Notes
STEP 3			

## TRAINING GUIDELINES

### I. Identifying training stakeholders

- ✓ Training activities in which the stakeholder should be involved
- ✓ Record of homeland security training activities in which the stakeholder has been involved
- ✓ Types of information the stakeholder should receive regarding training
- ✓ Record of training information the stakeholder has received

#### STEP 4

- ☐ **Identify public officials who impact or are affected by training activities at the Federal, State, local, and tribal levels**
  - ☐ For each public official, maintain the following types of information:
    - ✓ Name and contact information (e.g., mailing address, email address, phone number, administrative assistant phone number, if applicable)
    - ✓ Training activities to which the public official should be invited or in which the public official should be involved
    - ✓ Record of training activities to which the public official has been invited or in which the public official has been involved
    - ✓ Types of information the public official should receive regarding training
    - ✓ Record of training information the public official has received

#### STEP 5

- ☐ **Identify important stakeholders from the private sector**
  - ☐ Consider the following types of private sector stakeholders:
    - ✓ Private sector leaders
    - ✓ Private sector industry POCs
    - ✓ Private sector enterprise POCs
    - ✓ Other important private sector stakeholders (e.g., convention center staff, security staff, hospitality staff)
  - ☐ For each stakeholder, maintain the following types of information:
    - ✓ Name and contact information (e.g., mailing address, email address, phone number, administrative assistant phone number, if applicable)
    - ✓ Area of expertise, if applicable
    - ✓ Capability or service offering as relevant to training
    - ✓ Training activities in which the stakeholder should be involved
    - ✓ Record of homeland security training activities in which the stakeholder has been involved
    - ✓ Types of information the stakeholder should receive regarding training
    - ✓ Record of training information the stakeholder has received

**TRAINING GUIDELINES**

**I. Identifying training stakeholders**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 3</b>			
<b>STEP 4</b>			
<b>STEP 5</b>			



## **TRAINING GUIDELINES**

### **I. Identifying training stakeholders**

#### **STEP 6**

**☐ Identify stakeholders from private volunteer organizations, academia, non-governmental organizations, and Federally sponsored volunteer programs, e.g.:**

**☐ Consider the following types of private volunteer organizations, academia, non-governmental organizations, and Federally sponsored volunteer programs:**

- ✓ Americorps
- ✓ Citizen Corps
- ✓ Civil Air Patrol
- ✓ Community and faith-based
- ✓ Postal authorities
- ✓ Red Cross
- ✓ Schools and universities
- ✓ Senior Corps
- ✓ Tribes
- ✓ Unions

**☐ For each stakeholder, maintain the following types of information:**

- ✓ Name and contact information (e.g., mailing address, email address, phone number, administrative assistant phone number, if applicable)
- ✓ Area of expertise, if applicable
- ✓ Capability or service offering as relevant to training
- ✓ Training activities in which the stakeholder should be involved
- ✓ Record of homeland security training activities in which the stakeholder has been involved
- ✓ Types of information the stakeholder should receive regarding training
- ✓ Record of training information the stakeholder has received

#### **STEP 7**

**☐ Share stakeholder information with the homeland security program administrator(s) to ensure it is included in the master stakeholder database**

#### **STEP 8**

**☐ Update the stakeholder database regularly as new information becomes available**

TRAINING GUIDELINES

I. Identifying training stakeholders

	POC Responsible for Completion	Complete by:	Other Notes
STEP 6			
STEP 7			
STEP 8			

## TRAINING GUIDELINES

### II. Assembling a training working group

To ensure that key stakeholders are involved in coordinated training efforts, the training POC should assemble and utilize a training working group.

#### STEP 1

##### ☐ **Assess existing training working groups**

- ☐ Assess the role and responsibilities of existing training working groups
  - ☐ Determine if the group has clear responsibilities, meets regularly, and communicates with the homeland security program administrator(s) and other working groups, including the Senior Advisory Committee and Urban Area Working Group
- ☐ Assess the membership of existing training working groups
  - ☐ Determine if the group includes key training stakeholders from all relevant jurisdictions, disciplines, and organizations, e.g.:
    - ✓ Stakeholders directly involved in training from the Federal, State, local, and tribal levels (e.g., representatives from special response teams)
    - ✓ Stakeholders from all relevant disciplines (e.g., police and fire academies)
    - ✓ Stakeholders from the private sector (e.g., hospitality, convention, and security staff)
    - ✓ Stakeholders from private volunteer organizations, non-governmental organizations, and Federally sponsored volunteer organizations
    - ✓ First responders

#### STEP 2

##### ☐ ***If it is determined that a working group does not exist, needs enhanced responsibilities, or needs improved stakeholder representation, establish or reorganize one***

- ☐ Identify the authority of the training working group by working with the homeland security program administrator(s), Senior Advisory Committee, and Urban Area Working Group
- ☐ Work with the homeland security program administrator(s) and establish working group objectives, e.g.:
  - ✓ To ensure advance, strategic planning
  - ✓ To develop relationships and work with private sector partners
  - ✓ To identify opportunities to consolidate training requirements from multiple agencies
  - ✓ To take steps toward institutionalizing training courses
  - ✓ To identify alternative resources for sustaining training activities
  - ✓ To conduct training assessments
  - ✓ To maintain strong coordination with homeland security stakeholders throughout the State and region
- ☐ Determine the frequency of working group meetings

**TRAINING GUIDELINES**

**II. Assembling a training working group**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			

## **TRAINING GUIDELINES**

### **II. Assembling a training working group**

- ☐ Identify and invite key stakeholders to participate
  - ☐ Ensure broad representation from all jurisdictions, disciplines, and organizations involved in training, e.g.:
    - ✓ Stakeholders directly involved in training from the Federal, State, local, and tribal levels (e.g., representatives from special response teams)
    - ✓ Stakeholders from all relevant disciplines (e.g., police and fire academies)
    - ✓ Stakeholders from the private sector (e.g., hospitality, convention, and security staff)
    - ✓ Stakeholders from private volunteer organizations, non-governmental organizations, and Federally sponsored volunteer organizations
    - ✓ First responders
- ☐ Establish a process for making working group decisions and developing policies
- ☐ Clarify roles and responsibilities of working group members, e.g.:
  - ✓ Identify a chairperson
  - ✓ Identify voting members
  - ✓ Identify a point of contact for recording minutes and developing working group progress reports
  - ✓ Identify a point of contact responsible for meeting logistics (e.g., setting dates, finding locations, etc.)

**TRAINING GUIDELINES**

**II. Assembling a training working group**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 2</b>			

## **TRAINING GUIDELINES**

### **III. Communicating with training stakeholders**

To maintain regular communication with key training stakeholders, the training POC should develop and document a communication plan. (Refer to the Resources section for sample planning documents)

#### **STEP 1**

- ☐ **Identify a central point of contact to develop and document the communication plan**

#### **STEP 2**

- ☐ **Review NIMS concepts and principles for managing communications and information**

#### **STEP 3**

- ☐ **Establish communication objectives, e.g.:**
  - ✓ To coordinate training efforts and avoid duplication
  - ✓ To review training activities and plans with the SAA/UASI administrator
  - ✓ To share information with Federal, State, local, and tribal training POCs
  - ✓ To solicit feedback from ODP

#### **STEP 4**

- ☐ **Develop and document a plan for communicating with the Senior Advisory Committee, Urban Area Working Group, other working groups, and homeland security program administrator(s)**
  - ☐ Establish a timeframe for regular communication with the Senior Advisory Committee, Urban Area Working Group, other working groups, and homeland security program administrator(s)
  - ☐ Identify points of contact from the Senior Advisory Committee, Urban Area Working Group, and other working groups and maintain regular communication
  - ☐ Establish a method for communication (e.g., conference calls, email, attendance during meetings)

#### **STEP 5**

- ☐ **Develop and document a plan for communicating with training stakeholders who are not represented on working groups**
  - ☐ Identify key stakeholders who should be included in the plan, e.g.:
    - ✓ Public officials at the Federal, State, local, and tribal levels
    - ✓ Head officials of Federal, State, local, and tribal agencies, departments, organizations, etc.
    - ✓ Program and/or operational managers with Federal, State, local, and tribal agencies, departments, organizations, etc.
    - ✓ Administrative POCs with Federal, State, local, and tribal agencies, departments, organizations, etc.
    - ✓ First responder POCs with Federal, State, local, and tribal agencies, departments, organizations, etc.

TRAINING GUIDELINES

III. Communicating with training stakeholders

	POC Responsible for Completion	Complete by:	Other Notes
STEP 1			
STEP 2			
STEP 3			
STEP 4			
STEP 5			



## **TRAINING GUIDELINES**

### **III. Communicating with training stakeholders**

- ☐ Determine an optimal method for communication, e.g.:
  - ✓ Homeland security program newsletter or mailings
  - ✓ SAA website
  - ✓ Stakeholder and/or partner organization websites
  - ✓ Trade magazines
  - ✓ State or regional conferences
  - ✓ Conference calls
  - ✓ Email
  - ✓ Presentations at working group meetings
- ☐ Establish a schedule for regular and frequent communication

**TRAINING GUIDELINES**

**III. Communicating with training stakeholders**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 5</b>			

## **TRAINING GUIDELINES**

### **IV. Conducting an assessment to develop training priorities**

To identify factors that affect training and aid in developing training priorities, the training POC should conduct a training assessment.

#### **STEP 1**

- ☐ **Identify a central point of contact or use the training working group to conduct the assessment**

#### **STEP 2**

- ☐ **Establish a timeframe for conducting the assessment**

#### **STEP 3**

- ☐ **Conduct an assessment of factors that affect training**
  - ☐ Review goals and objectives of the State/Urban Area Homeland Security Strategy
    - ☐ Determine what training is necessary to support the goals and objectives of the Strategy
    - ☐ Develop a list of required training organized by the goals and objectives of the Strategy
  - ☐ Review State/regional assessments and reports for risk/threat
    - ☐ Develop a list of required training organized according to risk/threat
  - ☐ Review legal and programmatic policies, requirements, standards, and regulations
    - ☐ Develop a list of required training to address, e.g., Universal Task List (UTL) and Target Capabilities List (TCL) requirements
  - ☐ Determine if training is required for equipment and exercise activities
    - ☐ Compare the requirements and determine if similar training components are necessary and can be coordinated
  - ☐ Review new Federal, State, local, and tribal regulations and statutes
  - ☐ Identify other mandated and recommended training

#### **STEP 4**

- ☐ **Identify legislative and/or political factors that may impact training priorities, e.g.:**
  - ✓ Election cycles
  - ✓ Pending legislation
  - ✓ Pending standards
  - ✓ Schedules of legislative sessions

#### **STEP 5**

- ☐ **Identify seasonal cycles that may require special training, e.g.:**
  - ✓ National / State / local / tribal events
  - ✓ Weather events (e.g., hurricanes, tornados)
  - ✓ Wildfires

#### **STEP 6**

- ☐ **Consolidate all information into one training priorities list**

**TRAINING GUIDELINES**

**IV. Conducting an assessment to develop training priorities**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			
<b>STEP 4</b>			
<b>STEP 5</b>			
<b>STEP 6</b>			

## **TRAINING GUIDELINES**

### **V. Developing a training approach**

To ensure progress toward achieving the goals of the State/Urban Area Homeland Security Strategy and increasing capabilities, the training POC should develop and regularly update a training approach.

#### **STEP 1**

- ☐ ***Establish a timeframe for developing or updating the training approach***

#### **STEP 2**

- ☐ ***Establish training goals based on the Strategy and identified training priorities***
  - ☐ Review goals and objectives of the State/Urban Area Homeland Security Strategy
  - ☐ Review training priorities identified from the training program assessment

#### **STEP 3**

- ☐ ***Develop an approach to achieve training goals***
  - ☐ Review available funding resources and understand the budget for training activities
  - ☐ Facilitate planning and coordination of training among targeted stakeholders
    - ☐ Engage the training working group to plan and coordinate training
    - ☐ Identify stakeholders who should implement training activities
    - ☐ Identify specific courses/training activities needed
    - ☐ Assign responsibility for courses/training implementation
  - ☐ Develop a consolidated, multi-year training schedule based on planned courses/training
  - ☐ Disseminate schedule to training stakeholders

#### **STEP 4**

- ☐ ***Share the training approach and schedule with the homeland security program administrator(s) to influence budget allocations***

#### **STEP 5**

- ☐ ***Establish and document a schedule for updating the approach and communicate the schedule to training stakeholders***

TRAINING GUIDELINES

V. Developing a training approach

	POC Responsible for Completion	Complete by:	Other Notes
STEP 1			
STEP 2			
STEP 3			
STEP 4			
STEP 5			

## **TRAINING GUIDELINES**

### **VI. Creating and managing a training budget**

When creating and managing the training budget, the training POC should use the State/Urban Area Homeland Security Strategy and priorities of the training approach, in coordination with the homeland security program administrator(s). The training POC should track expenditures against the budget.

#### **STEP 1**

- ☐ ***Establish a timeframe for developing the training budget***

#### **STEP 2**

- ☐ ***Review the training approach and the objectives of the State/Urban Area Homeland Security Strategy***

#### **STEP 3**

- ☐ ***Develop the budget based on the State/Urban Area Homeland Security Strategy and training approach***
  - ☐ Develop best and worst case scenario budgets in advance of funding allocations based on previous year budgets and likely funding estimates
  - ☐ Base budget allocations on the State/Urban Area Homeland Security Strategy and training priorities
  - ☐ Create the final budget based on actual training allocation and other available funding

#### **STEP 4**

- ☐ ***Identify and understand financial management requirements***
  - ☐ Work with procurement officers, financial managers/accountants, auditors, and grant administrators and identify financial management requirements, e.g.:
    - ✓ Applicable OMB circulars
    - ✓ OJP OC Financial Guide
    - ✓ Procurement laws and regulations
    - ✓ State or local financial management requirements
    - ✓ Certified assurances
  - ☐ Review the schedule of all reporting requirements, timeframes, reporting agencies, etc., e.g.:
    - ✓ Required program reports
    - ✓ Required financial reports
    - ✓ Grant certifications and assurances
    - ✓ Funding deadlines and timeframes
    - ✓ The impact of delinquency on future funding and payments

**TRAINING GUIDELINES**

**VI. Creating and managing a training budget**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			
<b>STEP 4</b>			



## **TRAINING GUIDELINES**

### **VI. Creating and managing a training budget**

#### **STEP 5**

- ☐ ***Present the budget to homeland security program administrator(s) for monitoring purposes***

#### **STEP 6**

- ☐ ***Track funding expenditures against budgeted amounts and compare with stated priorities and goals***
  - ☐ Identify a central point of contact to monitor the budget and ongoing training expenditures on a regular basis
  - ☐ Develop a database/spreadsheet to track the following information regarding funding:
    - ✓ POC responsible for managing funds
    - ✓ Amount of funding award
    - ✓ Source of funding award (e.g., SHSP, LETPP, UASI, etc.)
    - ✓ Allowable funding expenditures
    - ✓ Conditions or restrictions on expenditures
    - ✓ Expenditures and draw down against funding source (e.g., procurements)
  - ☐ Complete program reports on a regular basis to ensure that expenditures have been tied to program performance and agreed upon deliverables/projects
  - ☐ Complete financial reports on a regular basis to ensure financial management compliance and appropriate allocation of funds to agreed upon deliverables/projects
  - ☐ Submit all completed reports to the program administrator(s)

**TRAINING GUIDELINES**

**VI. Creating and managing a training budget**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 5</b>			
<b>STEP 6</b>			

## **TRAINING GUIDELINES**

### **VII. Identifying staffing needs**

To ensure that all staffing needs are met, the training POC should identify the workload and communicate staffing needs to the homeland security program administrator(s).

#### **STEP 1**

- ☐ ***Establish a timeframe for identifying or updating staffing needs***

#### **STEP 2**

- ☐ ***Identify staff and skills needed to sustain training activities***
  - ☐ Review training activities as identified in the master training schedule
  - ☐ Identify administrative and operational staff and skills needed to implement training, including appropriate personnel to monitor grants
    - ☐ Identify core skills and physical limitations for training staff
  - ☐ Consider the need for staff with security clearances

#### **STEP 3**

- ☐ ***Assess current staff availability***
  - ☐ Identify full-time and detailed, part-time staff available, including contractual support

#### **STEP 4**

- ☐ ***Identify staffing gaps***

#### **STEP 5**

- ☐ ***Communicate staffing needs to the homeland security program administrator(s) to determine if funding is available for staffing***

#### **STEP 6**

- ☐ ***Identify alternative methods to sustain staffing***
  - ☐ Consider other Federal, State, local, and tribal funding sources as well as volunteers, interns, etc.

**TRAINING GUIDELINES**

**VII. Identifying staffing needs**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			
<b>STEP 4</b>			
<b>STEP 5</b>			
<b>STEP 6</b>			

## TRAINING GUIDELINES

### VIII. Identifying non-monetary resources and promising practices to support training

To enhance the implementation of training activities, the training POC should identify non-monetary resources and promising practices.

#### STEP 1

- ☐ **Establish a timeframe for identifying non-monetary resources and promising practices to support training**

#### STEP 2

- ☐ **Identify non-monetary resources and promising practices to support training, e.g.:**
  - ✓ Training resources and promising practices from within the State and from other States/ regions
  - ✓ Training resources and promising practices from professional organizations and associations (e.g., NEMA, NGA)
  - ✓ Training resources and promising practices from Federal partners and agencies, e.g.:
    - ODP (e.g., HSAP, LLIS, RKB)
    - CDC
    - FEMA

#### STEP 3

- ☐ **Document each resource and promising practice**
  - ☐ Identify the following types of information for each resource:
    - ✓ Resource type, e.g.:
      - Courses (independent study, classroom, etc.)
      - Course design manuals
      - Equipment
      - Guidance documents
      - In-kind support
      - Materials from previously conducted training
      - Mutual aid agreements
      - Solicited and unsolicited donations
      - Technical Assistance
      - Technology
      - Training resources for tribes (e.g., EMI)
      - Website / portal
    - ✓ Associated costs
    - ✓ Contact information to obtain the resource
    - ✓ Description of how the resource can be used in training

**TRAINING GUIDELINES**

**VIII. Identifying non-monetary resources and promising practices to support training**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			

## TRAINING GUIDELINES

### VIII. Identifying non-monetary resources and promising practices to support training

- ☐ Identify the following types of information for the promising practices:
  - ✓ When and how to implement the promising practice
  - ✓ Benefits
  - ✓ Point of contact to learn more information

#### STEP 4

- ☐ ***Distribute the resource information to training stakeholders***
  - ☐ Identify administrative and operational training stakeholders who should receive the information
    - ☐ Consider stakeholders from all jurisdictions and disciplines involved in training
  - ☐ Determine a method for dissemination, e.g.:
    - ✓ Post on website
    - ✓ Email
    - ✓ Hard copy

**TRAINING GUIDELINES**

**VIII. Identifying non-monetary resources and promising practices to support training**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 3</b>			
<b>STEP 4</b>			



## TRAINING GUIDELINES

### IX. Incorporating legal and programmatic policies, requirements, standards, and regulations that impact training

To ensure that training activities are in compliance with legal and programmatic policies, requirements, standards, and regulations, the training POC should understand and have a record of all legal and programmatic policies, requirements, standards, and regulations that impact training.

#### STEP 1

- ☐ **Collect information regarding legal and programmatic policies, requirements, standards, and regulations from the homeland security program administrator(s)**

#### STEP 2

- ☐ **Determine which laws, statutes, policies, requirements, standards, and regulations affect training**
  - ☐ Review the legal and programmatic policies, requirements, standards and regulations information provided by the homeland security program administrator(s), e.g.:
    - ✓ CIPP
    - ✓ EMAP
    - ✓ HSEEP
    - ✓ HSGP grant guidance
    - ✓ HSPD-5
    - ✓ HSPD-7
    - ✓ HSPD-8
    - ✓ LETPP
    - ✓ National Planning Scenarios
    - ✓ National Preparedness Goal
    - ✓ National Preparedness Guidance
    - ✓ National Priorities
    - ✓ NIMS
    - ✓ NRP
    - ✓ OJP OC Financial Guide
    - ✓ OMB Circulars
    - ✓ Target Capabilities List
    - ✓ Universal Task List

#### STEP 3

- ☐ **Create a spreadsheet and document specific sections that impact training, e.g.:**
  - ✓ Page numbers/website addresses of relevant sections
  - ✓ Critical activities and dates which the laws, statutes, policies, requirements, standards, and regulations impact
  - ✓ POCs for questions regarding the policies, requirements, standards, and regulations

**TRAINING GUIDELINES**

**IX. Incorporating legal and programmatic policies, requirements, standards, and regulations that impact training**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			

## **TRAINING GUIDELINES**

### **IX. Incorporating legal and programmatic policies, requirements, standards, and regulations that impact training**

#### **STEP 4**

- ☐ **Identify and document any additional training-specific laws, policies, requirements, standards, and regulations, e.g.:**
  - ✓ Contractor / vendor laws and regulations
  - ✓ FAA
  - ✓ Maritime / port transportation
  - ✓ NFPA
  - ✓ OSHA
  - ✓ Procurement laws and regulations
  - ✓ State accreditation organizations
  - ✓ Training personnel regulations
  - ✓ TSA

#### **STEP 5**

- ☐ **Disseminate the legal and programmatic information to training stakeholders**
  - ☐ Identify administrative and operational training stakeholders who should receive the information
    - ☐ Consider stakeholders from all jurisdictions and disciplines involved in training
  - ☐ Determine a method for dissemination, e.g.:
    - ✓ Post on website
    - ✓ Email
    - ✓ Hard copy

#### **STEP 6**

- ☐ **Monitor new laws, statutes, policies, requirements, standards, and regulations**
  - ☐ Collaborate with existing monitoring efforts (e.g., Inspector General)
  - ☐ Develop a schedule for reviewing new and/or amended laws, statutes, policies, requirements, standards and regulations
  - ☐ Work with a State, local, or tribal legal department, officer, or attorney to review and understand new and/or amended laws, statutes, policies, requirements, standards and regulations
  - ☐ Update legal and programmatic information as needed and disseminate to stakeholders

**TRAINING GUIDELINES**

**IX. Incorporating legal and programmatic policies, requirements, standards, and regulations that impact training**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 4</b>			
<b>STEP 5</b>			
<b>STEP 6</b>			

## TRAINING GUIDELINES

### X. Tracking training data for performance evaluation and reporting

To aid in measuring performance and in creating reports, the training POC should track training data.

#### STEP 1

☐ **Identify data that should be tracked to evaluate the management of training activities**

- ☐ Work with the homeland security program administrator(s) and identify data that should be tracked for evaluations and reports, e.g.:
  - ✓ Training participants/students
    - Type of training received and date
    - Certifications/credentials received
  - ✓ Dates and locations of training
  - ✓ Number of participants per course/training session
  - ✓ POCs for scheduled/completed training
- ☐ Review the State/Urban Area Homeland Security Strategy and identify data that should be tracked to evaluate performance (e.g., spending against requirements, Strategy, etc.)
- ☐ Review programmatic policies, requirements, standards, and regulations and identify specific training data that should be tracked to evaluate performance
- ☐ Coordinate with administrative staff (e.g., financial management staff) and determine data that should be tracked to evaluate performance
- ☐ Track training provider data, e.g.:
  - ✓ Name and contact information
  - ✓ Training expertise
  - ✓ Courses provided
  - ✓ Previous experience/engagements
  - ✓ Contract mechanisms (e.g., availability through Blanket Purchase Agreements)
  - ✓ References
  - ✓ Qualifications/credentials
  - ✓ Performance reports and evaluations
  - ✓ Scheduling procedures and availability

#### STEP 2

☐ **Establish a process to track data**

- ☐ Identify a central point of contact to collect data for the homeland security tracking system
- ☐ Coordinate with the homeland security program administrator(s) and establish a timeframe for updating training data in the tracking system
- ☐ Develop a schedule to ensure training data is updated with changes

#### STEP 3

☐ **Understand and comply with reporting deadlines (e.g. Federal, State, local, and tribal)**

TRAINING GUIDELINES

X. Tracking training data for performance evaluation and reporting

	POC Responsible for Completion	Complete by:	Other Notes
STEP 1			
STEP 2			
STEP 3			

## TRAINING GUIDELINES

### XI. Evaluating the management of training activities

To identify performance gaps and ways to improve the management of training activities, the training POC should measure performance through evaluations on a regular basis.

#### STEP 1

##### ☐ **Establish criteria for evaluating training management**

- ☐ Review the State/Urban Area Homeland Security Strategy for evaluation requirements and potential evaluation criteria
- ☐ Solicit input from multiple training stakeholders and develop criteria, e.g.:
  - ✓ Progress toward meeting training goals and increasing capabilities
  - ✓ Efforts to address previous training performance gaps
  - ✓ Ensuring that training is available for equipment
  - ✓ Efforts to ensure long-term program sustainability
  - ✓ Efforts to complete training according to schedule
  - ✓ Coordination and communication between planning, equipment, training, and exercise stakeholders
  - ✓ Ability to meet budget
  - ✓ Ability to track training finances
  - ✓ Ability to track training data
  - ✓ Ability to maintain staffing levels and skills
  - ✓ Compliance with legal and programmatic policies, requirements, standards, and regulations
  - ✓ Ability to generate necessary reports

#### STEP 2

##### ☐ **Establish a timeframe for conducting evaluations**

- ☐ Review requirements and establish a schedule for evaluating management performance
- ☐ Document and communicate the schedule to training stakeholders

#### STEP 3

##### ☐ **Collect data needed for the performance evaluation**

- ☐ Develop a standard approach for soliciting input (e.g., surveys, interviews, etc.)

**TRAINING GUIDELINES**

**XI. Evaluating the management of training activities**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			



## **TRAINING GUIDELINES**

### **XI. Evaluating the management of training activities**

#### **STEP 4**

##### **☐ Evaluate data**

- ☐ Engage the training working group to review data
- ☐ Determine if the training management criteria were met, e.g.:
  - ✓ Made significant progress toward increasing capabilities through training
  - ✓ Addressed previous training performance gaps
  - ✓ Ensured that training was available for new equipment
  - ✓ Made significant progress toward ensuring long-term training sustainability
  - ✓ Completed training according to schedule
  - ✓ Ensured coordination and communication with planning, equipment, and exercise stakeholders and met their needs for training
  - ✓ Met the budget
  - ✓ Successfully tracked finances
  - ✓ Successfully tracked and applied training data
  - ✓ Maintained necessary staffing levels
  - ✓ Complied with legal and programmatic policies, requirements, standards, and regulations
  - ✓ Generated necessary reports

#### **STEP 5**

- ☐ **Analyze evaluation results, document performance gaps, and share information with the homeland security program administrator(s) to aid in the overall program evaluation**

#### **STEP 6**

##### **☐ Develop a plan to address performance gaps**

- ☐ Create a task list, timeframe, and assign responsibilities for addressing performance gaps

#### **STEP 7**

- ☐ **Share evaluation results with key stakeholders who will be involved in subsequent year planning**

**TRAINING GUIDELINES**

**XI. Evaluating the management of training activities**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 4</b>			
<b>STEP 5</b>			
<b>STEP 6</b>			
<b>STEP 7</b>			

## **TRAINING GUIDELINES**

### **XII. Evaluating training providers**

To help ensure that providers are providing effective services and products, the training POC should evaluate the performance of providers and document the findings for future reference.

#### **STEP 1**

- ☐ ***Establish a timeframe for evaluating training providers***

#### **STEP 2**

- ☐ ***Identify a central point of contact to evaluate training providers***

#### **STEP 3**

- ☐ ***Establish provider evaluation criteria***
  - ☐ Work with the homeland security program administrator(s) and the training working group and establish criteria, e.g.:
    - ✓ Training quality
    - ✓ Performance according to schedule
    - ✓ Ability to remain within budget
    - ✓ Overall client satisfaction with performance

#### **STEP 4**

- ☐ ***Conduct evaluations***
  - ☐ Engage the training working group to conduct evaluations
  - ☐ Determine if providers met criteria, e.g.:
    - ✓ Delivered high quality training
    - ✓ Met schedule and deadlines
    - ✓ Remained within budget
    - ✓ Satisfied client needs

#### **STEP 5**

- ☐ ***Document performance gaps and/or strengths and communicate them to the homeland security program administrator(s) to aid in the overall program evaluation***

#### **STEP 6**

- ☐ ***Share information with stakeholders who will need future contract services***

**TRAINING GUIDELINES**

**XII. Evaluating training providers**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			
<b>STEP 4</b>			
<b>STEP 5</b>			
<b>STEP 6</b>			



Use these working calendars to create and track training milestones and deadlines.

January

Sunday					
Monday					
Tuesday					
Wednesday					
Thursday					
Friday					
Saturday					

[illegible]

# March

[illegible]



[illegible]

# May

[illegible]



## July

Sunday						
Monday						
Tuesday						
Wednesday						
Thursday						
Friday						
Saturday						

[illegible]

# September

[illegible]

Training Calendar-10

# November

[illegible]



Sunday						
Monday						
Tuesday						
Wednesday						
Thursday						
Friday						
Saturday						

# ODP and Other Resources Available to Support Training

Resource	Access	Brief Description
<b>Contacts</b>		
Centralized Scheduling and Information Desk (CSID)	The CSID toll-free number is 800-368-6498. The On-Site Call Desk is staffed weekdays from 8:00 a.m. to 7:00 p.m. Eastern Standard Time. On weekends, holidays, and after business hours, callers can leave a voice message. CSID support is also accessible via email at <a href="mailto:askcsid@dhs.gov">askcsid@dhs.gov</a> .	The CSID is a one-stop-shop for information on homeland security terrorism preparedness events for the federal, state, and local communities. In addition, the CSID schedules ODP training with the emergency responder community and maintains interagency homeland security exercise schedules. The CSID provides a critical tool to the federal agencies in coordinating, consolidating, and monitoring Federal homeland security terrorism preparedness events in the United States.
<b>Technical Assistance</b>		
Homeland Security Preparedness Technical Assistance Program	<p>ODP technical assistance is provided without charge to eligible states and/or local jurisdictions. For information on the Homeland Security Preparedness Technical Assistance Program, call the ODP Help Line at (800) 368-6498 or email <a href="mailto:askcsid@dhs.gov">askcsid@dhs.gov</a>.</p> <p>ODP is pleased to announce the availability of the Homeland Security Preparedness Technical Assistance Program Catalog at the following web address: <a href="http://www.ojp.usdoj.gov/odp/docs/ODP_IA_Catalog.pdf">http://www.ojp.usdoj.gov/odp/docs/ODP_IA_Catalog.pdf</a></p> <p>If you are unable to download the catalog from the website, you may request a copy of the catalog by contacting the ODP Centralized Scheduling and Information Desk (CSID).</p>	<p>ODP's Homeland Security Preparedness Technical Assistance (TA) Program provides direct assistance to state and local jurisdictions to improve their ability to prevent, respond to, and recover from threats or acts of terrorism involving chemical, biological, radiological, nuclear, or explosive (CBRNE) weapons. TA provides a process to help resolve a problem and/or create innovative approaches. All TA services are available to eligible recipients at no charge.</p> <p>TA programs in place or currently under development within ODP include:</p> <ul style="list-style-type: none"> <li>■ <b>Enhancing Grants Management Capacities of State Administrative Agencies</b></li> <li>■ <b>Homeland Security Assessment and Strategy Technical Assistance</b></li> <li>■ <b>Initial Strategy Implementation Plan (ISIP) Technical Assistance</b></li> <li>■ <b>Domestic Preparedness Equipment Technical Assistance Program (DPETAP)</b></li> <li>■ <b>Terrorism Early Warning Group Replication</b></li> <li>■ <b>Interoperable Communication Technical Assistance Program (ICTAP)</b></li> <li>■ <b>Port and Mass Transit Planning Technical Assistance</b></li> <li>■ <b>Rapid Assistance Team Technical Assistance</b></li> <li>■ <b>General Technical Assistance</b></li> <li>■ <b>Prevention Technical Assistance</b></li> <li>■ <b>Plans and Planning Synchronization Technical Assistance</b></li> </ul>
<b>Guidance &amp; Documents</b>		
ODP Course Approval and Reporting Process Guidance	Information regarding ODP's approval and reporting processes for training courses can be accessed through the following web address: <a href="http://198.104.156.52/ODP_Webforms/In dex.asp">http://198.104.156.52/ODP_Webforms/In dex.asp</a>	The guidance provides a description of reporting processes required for attending non-SLGCP courses; how to develop and/or institutionalize non-SLGCP courses; and the reporting process for attending federal courses.

Resource	Access	Guidance & Documents	Brief Description
ODP Training Course Catalog	The ODP Course Catalog can be accessed through the following web address: <a href="http://www.ojp.usdoj.gov/odp/training_catalog.htm">http://www.ojp.usdoj.gov/odp/training_catalog.htm</a> If you are unable to download the catalog from the website, you may request a copy of the catalog by contacting the ODP Centralized Scheduling and Information Desk (CSID).		This catalog is designed to provide emergency response personnel with comprehensive information regarding training courses and technical assistance offered by ODP. The catalog contains course descriptions and information on all weapons of mass destruction training courses and technical assistance developed and delivered by ODP and its training partners. The catalog also contains contact information to assist you in corresponding directly with the course developers to obtain additional information, and to schedule training and/or technical assistance.
ODP Online Library	The ODP Online Library can be accessed through the following web address: <a href="http://www.ojp.usdoj.gov/odp/library/bulletins.htm">http://www.ojp.usdoj.gov/odp/library/bulletins.htm</a>		The ODP Online Library offers access to various guidance, documents, and other materials that can provide information and assist state and local jurisdictions in improving their ability to prevent, respond to, and recover from threats or acts of terrorism. The Library contains the following types of resources: <ul style="list-style-type: none"> <li>■ Course Catalogs</li> <li>■ Information Bulletins</li> <li>■ Fact Sheets (Consortium Members and General)</li> <li>■ Training</li> <li>■ Reference Documents</li> <li>■ Presidential Decision Directives</li> <li>■ Grant Guidance and Information</li> </ul>
<b>Tools/Programs</b>			
Blended Learning Approach	Information regarding ODP's Blended Learning Approach to training can be accessed through the following web address: <a href="http://www.ojp.usdoj.gov/odp/training_bl.htm">http://www.ojp.usdoj.gov/odp/training_bl.htm</a> For additional information, please contact Barbara Wisniewski Biehn at <a href="mailto:Barbara.WisniewskiBiehn@dhs.gov">Barbara.WisniewskiBiehn@dhs.gov</a>		ODP's "Blended Learning" approach provides training partners with practical guidance for creating training content in a variety of mediums (including, but not limited to, traditional, Web-based, computer-based, and Video Teletraining) to keep pace with current needs.
Competitive Training Grants Program	Information regarding ODP's Competitive Training Grants Program can be accessed through the following web address: <a href="http://www.ojp.usdoj.gov/odp/training_ctgp.htm">http://www.ojp.usdoj.gov/odp/training_ctgp.htm</a>		This program provides funding for training initiatives that further ODP's mission of preparing the nation to prevent, deter, respond to and recover from incidents of terrorism involving weapons of mass destruction (WMD).
Lessons Learned Information Sharing (LLIS)	The LLIS network can be accessed through the following web address: <a href="https://www.llis.dhs.gov/">https://www.llis.dhs.gov/</a>		The Lessons Learned Information Sharing (LLIS) is a national, online network of best practices and lessons learned designed to help homeland security responders, planners, and healthcare professionals prevent, prepare for, and respond to terrorism.

Resource	Access	Brief Description
<b>Tools/Programs</b>		
National Programs portal	The National Programs portal can be accessed through the following web address: <a href="http://www.ojp.usdoj.gov/odp/assessments/hspd8.htm">http://www.ojp.usdoj.gov/odp/assessments/hspd8.htm</a>	The National Programs portal provides information and links for the following National Programs: <ul style="list-style-type: none"> <li>■ National Incident Management System</li> <li>■ National Response Plan</li> <li>■ National Preparedness Goal</li> <li>■ Capabilities-Based Planning Tools (National Planning Scenarios, Target Capabilities List, Universal Task List)</li> <li>■ Homeland Security Grant Program Guidance</li> <li>■ National Preparedness Guidance</li> </ul>
USDHS/ODP Extranet Secure Portal (ESP)	For technical questions on the use of the portal, a help desk is available at (804) 744-8800 or via email at <a href="mailto:helpdesk@espgroup.net">helpdesk@espgroup.net</a> . For substantive programmatic information and questions, please contact the ODP Centralized Scheduling and Information Desk (CSID).	The USDHS/ODP Extranet Secure Portal provides a mechanism to coordinate the scheduling of training and exercises and share exercise information with state and local jurisdictions.
<b>Other Resources</b>		
Citizen Corps, Partners and Affiliates	Information pertaining to Citizen Corps, its Partners and Affiliates can be found through the following web address: <a href="http://www.citizencorps.gov">http://www.citizencorps.gov</a> .	Citizen Corps is the Department of Homeland Security's program with the mission to harness the power of every individual through education, training, and volunteer service to make communities safer, stronger, and better prepared to respond to the threats of terrorism, crime, public health issues, and disasters of all kinds. The Citizen Corps mission is accomplished through a national network of state, local, and tribal Citizen Corps Councils. These Councils build on community strengths to implement the Citizen Corps programs and will carry out a local strategy to have every American participate. Citizen Corps Affiliate Programs and Organizations offer communities resources for public education, outreach, and training; represent volunteers interested in helping to make their community safer; or offer volunteer service opportunities to support first responders, disaster relief activities, and community safety efforts.
Community Emergency Response Team (CERT) Training	Information pertaining to CERT Training can currently be accessed through the following web address: <a href="http://training.fema.gov/emiweb/CERT/">http://training.fema.gov/emiweb/CERT/</a> . In the near future, the CERT webpage will be housed within <a href="http://www.citizencorps.gov">http://www.citizencorps.gov</a> , the Citizen Corps website, and the old website will redirect you to the new one once all information has been transitioned.	The purpose of this site is to provide information which will help you to establish and maintain an effective CERT program, and to allow you to network with people throughout the United States and its territories regarding CERT activities. CERT training offers members of a community a better understanding of the potential threats to their home, workplace and community so they can take the right steps to lessen the effects of these hazards on themselves, their homes or workplace. The CERT Website also offers a library of downloadable CERT Training materials.

Resource	Access	Other Resources	Brief Description
Centers for Disease Control and Prevention (CDC)	CDC can be accessed through the following web address: <a href="http://www.cdc.gov/">http://www.cdc.gov/</a>		
Department of Health and Human Services (HHS)	The Department of Health and Human Services can be accessed through the following web address: <a href="http://www.hhs.gov">http://www.hhs.gov</a>		
Federal Emergency Management Agency (FEMA)	FEMA can be accessed through the following web address: <a href="http://www.fema.gov">http://www.fema.gov</a>		
National Domestic Preparedness Consortium (NDPC)	Information regarding the National Preparedness Consortium can be accessed through the following web address: <a href="http://www.ojp.usdoj.gov/odp/training_ndpc.htm">http://www.ojp.usdoj.gov/odp/training_ndpc.htm</a>  For information on the National Domestic Preparedness Consortium, call the ODP Help Line at (800) 368-6498 or email <a href="mailto:askcsid@dhs.gov">askcsid@dhs.gov</a> .	The National Domestic Preparedness Consortium (NDPC) is the principal vehicle through which ODP identifies, develop, tests, and delivers training to state and local emergency responders. Members include the following: <ul style="list-style-type: none"> <li>■ Center for Domestic Preparedness (CDP)</li> <li>■ New Mexico Institute of Mining and Technology (National Energetic Materials Research and Testing Center) (NMIMT)</li> <li>■ Louisiana State University (LSU) (Academy of Counter-Terrorist Education)</li> <li>■ Texas A&amp;M University (National Emergency Response and Rescue Training Center)</li> <li>■ U.S. Department of Energy's Nevada Test Site (National Exercise, Test, and Training Center) (NTS)</li> </ul>	
ODP Training Partners	Information regarding training offered ODP Training Partners can be accessed through the following web address: <a href="http://www.ojp.usdoj.gov/odp/training_other.htm">http://www.ojp.usdoj.gov/odp/training_other.htm</a>  For information on the ODP Training Partners, call the ODP Help Line at (800) 368-6498 or email <a href="mailto:askcsid@dhs.gov">askcsid@dhs.gov</a> .	<p>ODP training partners include the following:</p> <ul style="list-style-type: none"> <li>■ Michigan State University (MSU) School of Criminal Justice</li> <li>■ International Association of Fire Fighters (IAFF)</li> <li>■ The National Terrorism Preparedness Institute (NTPi)</li> <li>■ Pine Bluff Arsenal (PBA)</li> <li>■ The National Sheriff's Association (NSA)</li> <li>■ The Naval Postgraduate School (NPS)</li> </ul>	
Office of Justice Programs Financial Guide	Office of Justice Programs Financial Guide can be accessed through the following web address: <a href="http://www.ojp.usdoj.gov/FinGuide/">http://www.ojp.usdoj.gov/FinGuide/</a>		
Office of Management and Budget (OMB)	OMB circulars can be accessed through the following web address: <a href="http://www.whitehouse.gov/omb/circulars/index.html">http://www.whitehouse.gov/omb/circulars/index.html</a>		

## Identifying Stakeholders – Sample Templates

Administrative Stakeholders with Direct Involvement		
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	Information Stakeholder has Received

These sample templates show the types of categories that may be helpful to consider when identifying and tracking stakeholders

Operational Stakeholders with Direct Involvement		
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	Information Stakeholder has Received

<b>First Responder Discipline Stakeholders</b>		
Discipline	▶ Emergency Management, e.g.	
Stakeholder Type (check one)	<input type="checkbox"/> Head official of Federal, State, local, and tribal emergency management agencies, departments, organizations, etc. <input type="checkbox"/> Program and / or operational manager with Federal, State, local, and tribal emergency management agencies, departments, organizations, etc. <input type="checkbox"/> Administrative POC with Federal, State, local, and tribal emergency management agencies, departments, organizations, etc. <input type="checkbox"/> First responder POC with Federal, State, local, and tribal emergency management agencies, departments, organizations, etc.	
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	▶ Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	▶ Information Stakeholder has Received

<b>Public Officials who Impact Homeland Security</b>		
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	▶ Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	▶ Information Stakeholder has Received



Private Sector Stakeholders		
Discipline	▶ Emergency Management, e.g.	
Stakeholder Type (check one)	<input type="checkbox"/> Private Sector Leader <input type="checkbox"/> Private Sector Industry POC <input type="checkbox"/> Private Sector Enterprise POC <input type="checkbox"/> Other	
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	▶ Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	▶ Information Stakeholder has Received

Stakeholders from Private Volunteer Organizations		
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	▶ Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	▶ Information Stakeholder has Received



<b>Academia Stakeholders</b>			
Stakeholder Name	▶		
Office / Organization / Agency / Etc.	▶		
Phone	▶		
Fax	▶		
Area of Expertise	▶		
Capability or Service Offering	▶		
Activities in Which Stakeholder Should be Involved	▶		▶ Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶		▶ Information Stakeholder has Received

<b>Stakeholders from Non-governmental Organizations</b>			
Stakeholder Name	▶		
Office / Organization / Agency / Etc.	▶		
Phone	▶		
Fax	▶		
Area of Expertise	▶		
Capability or Service Offering	▶		
Activities in Which Stakeholder Should be Involved	▶		▶ Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶		▶ Information Stakeholder has Received

Stakeholders from Federally Sponsored Volunteer Programs		
Stakeholder Name		
Office / Organization / Agency / Etc.		
Phone		
Fax		
Area of Expertise		
Capability or Service Offering		
Activities in Which Stakeholder Should be Involved	Activities Which Stakeholder has been Involved In	
Type of Information Stakeholder Should Receive	Information Stakeholder has Received	



# Communicating with Stakeholders – Sample Planning Document

Identify Stakeholders	Map Stakeholders to Communication Objectives	Determine Optimal Communication Method	Establish Schedule For Communication
<p><b>Think about this...</b></p> <ul style="list-style-type: none"> <li>▶ Which stakeholders need to be included in the communication plan?</li> </ul>	<ul style="list-style-type: none"> <li>▶ What information does this stakeholder need to hear?</li> <li>▶ What information needs to be gathered from this stakeholder?</li> </ul>	<ul style="list-style-type: none"> <li>▶ What method should be used to deliver information?</li> <li>▶ Who will deliver the information?</li> <li>▶ What method should be used to collect information?</li> <li>▶ Who will collect the information?</li> </ul>	<ul style="list-style-type: none"> <li>▶ What is the appropriate timing for information sharing?</li> </ul>
<p><b>Activities</b></p> <p>It may be helpful to reference the list of stakeholders that was developed</p>	<ul style="list-style-type: none"> <li>▶ Group stakeholders according to similar information needs and communication objectives</li> </ul> <p>Consider the example objectives provided in the Handbook</p>	<ul style="list-style-type: none"> <li>▶ Determine methods for communication, e.g.: <ul style="list-style-type: none"> <li>– Homeland security program newsletter or mailings</li> <li>– SAA website</li> <li>– Stakeholder and / or partner organization websites</li> <li>– State or regional conferences</li> <li>– Conference calls</li> <li>– Email</li> <li>– Attendance at working group meetings</li> </ul> </li> <li>▶ Assign optimal methods to each stakeholder based on categories of information needs</li> <li>▶ Assign ownership of communication</li> </ul>	<ul style="list-style-type: none"> <li>▶ Establish a timeframe for two-way communication</li> <li>▶ Establish a timeframe for developing and maintaining publications / postings</li> </ul>
<p><b>Products</b></p>	<ul style="list-style-type: none"> <li>▶ List of stakeholders grouped by information needs</li> </ul>	<ul style="list-style-type: none"> <li>▶ List of stakeholders with corresponding communication methods</li> </ul>	<ul style="list-style-type: none"> <li>▶ Communication plan that includes stakeholders, responsibilities, and timelines</li> </ul>

Stakeholders	Communication Objectives & Information Needs	Communication Method	POC / Owner Responsible for Communication	Timeframe

This sample template shows the types of information, and a practical layout, that may be helpful to consider when documenting a communication plan

## EXERCISE PREFACE

The **Exercise Guidelines** are designed for managers or points of contact who are responsible for implementing activities associated with exercises. The guidelines are part of the “ODP Program Management Handbook” that includes Administrator, Planning, Equipment, and Training guidelines as well. They have been designed to complement HSEEP program management guidance. The guidelines are not intended to supplant existing program management systems that are effective. Their purpose is to serve as a resourceful tool for building and improving management frameworks through which exercise-related goals and objectives can be achieved throughout various programs and initiatives. The guidelines outline 13 suggested practices for developing and enhancing program management abilities to help accomplish the following responsibilities:

- Apply the goals and objectives of the State/Urban Area Homeland Security Strategy throughout homeland security exercise activities;
- Assess the preparedness environment and identify exercise priorities;
- Identify and coordinate with key stakeholders – including private sector partners – to effectively plan and implement homeland security exercise activities;
- Manage a strategic budget and staffing plan for exercise activities;
- Identify alternative resources available to ensure long-term sustainability of exercise efforts; and
- Measure the performance toward achieving the goals and objectives of the State/Urban Area Homeland Security Strategy through exercise activities.

Each suggested practice is supported by a set of activities. It is recommended that the user designate a point of contact responsible for completing the activities. It is also recommended that the user create a calendar with milestones and deadlines for activity completion. The Handbook includes a list of helpful resources available from ODP. **Please consult the glossary for definitions of terms and acronyms used throughout the Handbook.**

Throughout the Handbook, the guidelines direct the exercise POC to communicate and coordinate with the homeland security administrator(s). This refers to the administrator(s) at the State, local, and tribal levels (e.g., the SAA and UASI administrators) who administer homeland security funds and oversee the holistic implementation of homeland security programs and initiatives.



# EXERCISE GUIDELINES

## EXERCISE GUIDELINE SECTIONS

<b>I. Identifying exercise stakeholders.....</b>	<b>Exercise-4</b>
<b>II. Assembling an exercise working group.....</b>	<b>Exercise-12</b>
<b>III. Communicating with exercise stakeholders.....</b>	<b>Exercise-16</b>
<b>IV. Conducting an assessment to develop exercise priorities .....</b>	<b>Exercise-20</b>
<b>V. Developing an exercise approach .....</b>	<b>Exercise-22</b>
<b>VI. Creating and managing an exercise budget .....</b>	<b>Exercise-24</b>
<b>VII. Identifying staffing needs.....</b>	<b>Exercise-28</b>
<b>VIII. Identifying non-monetary resources and promising practices to support exercises .....</b>	<b>Exercise-30</b>
<b>IX. Incorporating legal and programmatic policies, requirements, standards, and regulations that impact exercises .....</b>	<b>Exercise-34</b>
<b>X. Integrating HSEEP.....</b>	<b>Exercise-38</b>
<b>XI. Tracking exercise data for performance evaluation and reporting .....</b>	<b>Exercise-40</b>
<b>XII. Evaluating the management of exercise activities.....</b>	<b>Exercise-42</b>
<b>XIII. Evaluating exercise contractors.....</b>	<b>Exercise-46</b>



## EXERCISE GUIDELINES

### I. Identifying exercise stakeholders

To ensure that exercise activities involve key stakeholders from all aspects of homeland security, the exercise POC should identify all stakeholders who have a direct or indirect impact on exercises. (Refer to the Resources section for sample planning documents)

#### STEP 1

##### ☐ **Create a database to maintain exercise stakeholder information**

- ☐ Identify a point of contact responsible for maintaining the database on a regular basis
- ☐ Maintain the following types of stakeholder information:
  - ✓ Name and contact information (e.g., mailing address, email address, phone number, administrative assistant phone number, if applicable)
  - ✓ Area of expertise, if applicable
  - ✓ Capability or service offering as relevant to exercises
  - ✓ Exercise activities in which the stakeholder should be involved
  - ✓ Record of homeland security exercise activities in which the stakeholder has been involved
  - ✓ Types of information the stakeholder should receive regarding exercises
  - ✓ Record of exercise information the stakeholder has received

#### STEP 2

##### ☐ **Identify stakeholders who have direct involvement with exercise implementation**

- ☐ Create a list of administrative stakeholders with direct involvement, e.g.:
  - ✓ Key financial staff from the Federal, State, local, and tribal levels, e.g.:
    - Financial managers/accountants
    - Auditors
    - Grant administrators who administer other grant programs that complement the homeland security program (e.g., CDC, HRSA, FEMA, DOT, DOE, USDA grants, etc.)
  - ✓ Procurement officers
  - ✓ Public information officers within the SAA office or agency who handle FOIA and press inquiries jointly with the SAA and their staff
  - ✓ Homeland security administrators and deputies from the Federal, State, local, and tribal levels
- ☐ Create a list of operational stakeholders with direct involvement, e.g.:
  - ✓ Federal, State, local, and tribal planning, equipment, training, and exercise POCs

**EXERCISE GUIDELINES**

**I. Identifying exercise stakeholders**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			

## EXERCISE GUIDELINES

### I. Identifying exercise stakeholders

#### STEP 3

##### ☐ **Identify Federal, State, local, and tribal stakeholders from first responder disciplines**

- ☐ Consider disciplines such as the following (note: this list is not comprehensive):
  - ✓ Agriculture
  - ✓ Emergency management
  - ✓ Emergency medical service
  - ✓ Fire service
  - ✓ Government administrative
  - ✓ Hazardous materials
  - ✓ Health care
  - ✓ Law enforcement
  - ✓ Military
  - ✓ Public communications
  - ✓ Public health
  - ✓ Public works
- ☐ For each discipline, group stakeholders according to categories such as the following:
  - ✓ Head officials of Federal, State, local, and tribal agencies, departments, organizations, etc., e.g.:
    - Agencies, departments or organizations such as the FBI, National Guard, Coast Guard, Immigrations and Customs, Intelligence Fusion Center, State Police, State Emergency Management Agency, State Health Office, State Agriculture Agency, County Health Office, Victims Services Office
  - ✓ Program and/or operational managers with Federal, State, local, and tribal agencies, departments, organizations, etc.
  - ✓ Administrative POCs with Federal, State, local, and tribal agencies, departments, organizations, etc.
  - ✓ First responder POCs with Federal, State, local, and tribal agencies, departments, organizations, etc.

**EXERCISE GUIDELINES**

**I. Identifying exercise stakeholders**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 3</b>			

## EXERCISE GUIDELINES

### I. Identifying exercise stakeholders

- ☐ For each stakeholder, maintain the following types of information:
  - ✓ Name and contact information (e.g., mailing address, email address, phone number, administrative assistant phone number, if applicable)
  - ✓ Area of expertise, if applicable
  - ✓ Capability or service offering as relevant to exercise activities
  - ✓ Exercise activities in which the stakeholder should be involved
  - ✓ Record of homeland security exercise activities in which the stakeholder has been involved
  - ✓ Types of information the stakeholder should receive regarding exercises
  - ✓ Record of exercise information the stakeholder has received

#### STEP 4

☐ **Identify public officials who impact or are affected by exercise activities at the Federal, State, local, and tribal levels**

- ☐ For each public official, maintain the following types of information:
  - ✓ Name and contact information (e.g., mailing address, email address, phone number, administrative assistant phone number, if applicable)
  - ✓ Exercise activities to which the public official should be invited or in which the public official should be involved
  - ✓ Record of exercise activities to which the public official has been invited or in which the public official has been involved
  - ✓ Types of information the public official should receive regarding exercises
  - ✓ Record of exercise information the public official has received

#### STEP 5

☐ **Identify important stakeholders from the private sector**

- ☐ Consider the following types of private sector stakeholders:
  - ✓ Private sector leaders
  - ✓ Private sector industry POCs
  - ✓ Private sector enterprise POCs
  - ✓ Other important private sector stakeholders (e.g., convention center staff, security staff, hospitality staff)

EXERCISE GUIDELINES

I. Identifying exercise stakeholders

	POC Responsible for Completion	Complete by:	Other Notes
STEP 3			
STEP 4			
STEP 5			

## EXERCISE GUIDELINES

### I. Identifying exercise stakeholders

- ☐ For each stakeholder, maintain the following types of information:
  - ✓ Name and contact information (e.g., mailing address, email address, phone number, administrative assistant phone number, if applicable)
  - ✓ Area of expertise, if applicable
  - ✓ Capability or service offering as relevant to exercise activities
  - ✓ Exercise activities in which the stakeholder should be involved
  - ✓ Record of homeland security exercise activities in which the stakeholder has been involved
  - ✓ Types of information the stakeholder should receive regarding exercises
  - ✓ Record of exercise information the stakeholder has received

#### STEP 6

☐ **Identify stakeholders from private volunteer organizations, academia, non-governmental organizations, and Federally sponsored volunteer programs, e.g.:**

- ☐ Consider the following types of private volunteer organizations, academia, non-governmental organizations, and Federally sponsored volunteer programs:
  - ✓ Americorps
  - ✓ Citizen Corps
  - ✓ Civil Air Patrol
  - ✓ Community and faith-based
  - ✓ Red Cross
  - ✓ Schools and universities
  - ✓ Senior Corps
- ☐ For each stakeholder, maintain the following types of information:
  - ✓ Name and contact information (e.g., mailing address, email address, phone number, administrative assistant phone number, if applicable)
  - ✓ Area of expertise, if applicable
  - ✓ Capability or service offering as relevant to exercises
  - ✓ Exercise activities in which the stakeholder should be involved
  - ✓ Record of homeland security exercise activities in which the stakeholder has been involved
  - ✓ Types of information the stakeholder should receive regarding exercises
  - ✓ Record of exercise information the stakeholder has received

#### STEP 7

- ☐ **Share stakeholder information with the homeland security program administrator(s) to ensure it is included in the master stakeholder database**

#### STEP 8

- ☐ **Update the stakeholder database regularly as new information becomes available**

EXERCISE GUIDELINES

I. Identifying exercise stakeholders

	POC Responsible for Completion	Complete by:	Other Notes
STEP 5			
STEP 6			
STEP 7			
STEP 8			



## EXERCISE GUIDELINES

### II. Assembling an exercise working group

To ensure that key stakeholders are involved in coordinated exercise efforts, the exercise POC should assemble and utilize an exercise working group.

#### STEP 1

##### ☐ **Assess existing exercise working groups**

- ☐ Assess the role and responsibilities of existing exercise working groups
  - ☐ Determine if the group has clear responsibilities, meets regularly, and communicates with the homeland security program administrator(s) and other working groups, including the Senior Advisory Committee and Urban Area Working Group
- ☐ Assess the membership of existing exercise working groups
  - ☐ Determine if the group includes key exercise stakeholders from all relevant jurisdictions, disciplines, and organizations, e.g.:
    - ✓ Stakeholders directly involved in exercises from the Federal, State, local, and tribal levels
    - ✓ Stakeholders from all relevant disciplines
    - ✓ Stakeholders from the private sector (e.g., hospitality, convention, and security staff)
    - ✓ Stakeholders from private volunteer organizations, non-governmental organizations, and Federally sponsored volunteer organizations
    - ✓ First responders

#### STEP 2

##### ☐ ***If it is determined that a working group does not exist, needs enhanced responsibilities, or needs improved stakeholder representation, establish or reorganize one***

- ☐ Review HSEEP guidelines for establishing an exercise working group
- ☐ Identify the authority of the exercise working group by working with the homeland security program administrator(s), Senior Advisory Committee, and Urban Area Working Group
- ☐ Work with the homeland security program administrator(s) and establish working group objectives, e.g.:
  - ✓ To ensure advance, strategic planning
  - ✓ To develop relationships and work with private sector partners
  - ✓ To identify opportunities to consolidate exercise requirements from multiple agencies
  - ✓ To identify alternative resources for sustaining exercise efforts
  - ✓ To conduct assessments of exercise activities
  - ✓ To maintain strong coordination with homeland security stakeholders throughout the State and region

**EXERCISE GUIDELINES**

**II. Assembling an exercise working group**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			

## EXERCISE GUIDELINES

### II. Assembling an exercise working group

- ☐ Determine the frequency of working group meetings
- ☐ Identify and invite key stakeholders to participate
  - ☐ Ensure broad representation from all jurisdictions, disciplines, and organizations involved in exercises, e.g.:
    - ✓ Stakeholders directly involved in exercises from the Federal, State, local, and tribal levels
    - ✓ Stakeholders from all disciplines
    - ✓ Stakeholders from the private sector (e.g., hospitality, convention, and security staff)
    - ✓ Stakeholders from private volunteer organizations, non-governmental organizations, and Federally sponsored volunteer organizations
    - ✓ First responders
- ☐ Establish a process for making working group decisions and developing policies
- ☐ Clarify roles and responsibilities of working group members, e.g.:
  - ✓ Identify a chairperson
  - ✓ Identify voting members
  - ✓ Identify a point of contact for recording minutes and developing working group progress reports
  - ✓ Identify a point of contact responsible for meeting logistics (e.g., setting dates, finding locations, etc.)

**EXERCISE GUIDELINES**

**II. Assembling an exercise working group**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 2</b>			

## **EXERCISE GUIDELINES**

### **III. Communicating with exercise stakeholders**

To maintain regular communication with key exercise stakeholders, the exercise POC should develop and document a communication plan. (Refer to the Resources section for sample planning documents)

#### **STEP 1**

- ☐ **Identify a central point of contact to develop and document the communication plan**

#### **STEP 2**

- ☐ **Review NIMS concepts and principles for managing communications and information**

#### **STEP 3**

- ☐ **Establish communication objectives, e.g.:**
  - ✓ To coordinate exercise efforts and avoid duplication
  - ✓ To review exercise performance with the SAA/UASI administrator
  - ✓ To share information with Federal, State, local, and tribal exercise POCs
  - ✓ To solicit feedback from ODP

#### **STEP 4**

- ☐ **Develop and document a plan for communicating with the Senior Advisory Committee, Urban Area Working Group, other working groups, and homeland security program administrator(s)**
  - ☐ Establish a timeframe for regular communication with the Senior Advisory Committee, Urban Area Working Group, other working groups, and homeland security program administrator(s)
  - ☐ Identify points of contact from the Senior Advisory Committee, Urban Area Working Group, and other working groups and maintain regular communication
  - ☐ Establish a method for communication (e.g., conference calls, email, attendance during meetings)

#### **STEP 5**

- ☐ **Develop and document a plan for communicating with exercise stakeholders who are not represented on working groups**
  - ☐ Identify key stakeholders who should be included in the plan, e.g.:
    - ✓ Public officials at the Federal, State, local, and tribal levels
    - ✓ Head officials of Federal, State, local, and tribal agencies, departments, organizations, etc.
    - ✓ Program and/or operational managers with Federal, State, local, and tribal agencies, departments, organizations, etc.
    - ✓ Administrative POCs with Federal, State, local, and tribal agencies, departments, organizations, etc.
    - ✓ First responder POCs with Federal, State, local, and tribal agencies, departments, organizations, etc.

**EXERCISE GUIDELINES**

**III. Communicating with exercise stakeholders**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			
<b>STEP 4</b>			
<b>STEP 5</b>			

## **EXERCISE GUIDELINES**

### **III. Communicating with exercise stakeholders**

- ☐ Determine an optimal method for communication, e.g.:
  - ✓ Homeland security program newsletter or mailings
  - ✓ SAA website
  - ✓ Stakeholder and/or partner organization websites
  - ✓ State or regional conferences
  - ✓ Conference calls
  - ✓ Email
  - ✓ Presentations at working group meetings
- ☐ Establish a schedule for regular and frequent communication

**EXERCISE GUIDELINES**

**III. Communicating with exercise stakeholders**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 5</b>			



## **EXERCISE GUIDELINES**

### **IV. Conducting an assessment to identify exercise priorities**

To identify factors that affect exercises and aid in developing exercise priorities, the exercise POC should conduct an exercise assessment.

#### **STEP 1**

- ☐ **Identify a central point of contact or use the exercise working group to conduct the assessment**

#### **STEP 2**

- ☐ **Establish a timeframe for conducting the assessment**

#### **STEP 3**

- ☐ **Conduct an assessment of factors that affect exercises**
  - ☐ Review goals and objectives of the State/Urban Area Homeland Security Strategy
    - ☐ Determine what exercises are necessary to support the goals and objectives of the Strategy
    - ☐ Develop a list of required exercises organized by the goals and objectives of the Strategy
  - ☐ Review State/regional assessments and reports for risk/threat
    - ☐ Develop a list of required exercises organized according to risk/threat
  - ☐ Review legal and programmatic policies, requirements, standards, and regulations
    - ☐ Develop a list of required exercises
  - ☐ Review all programs for exercise components, i.e., exercises required for planning, equipment, and training
    - ☐ Compare the requirements and determine if similar exercise components are necessary and can be coordinated
  - ☐ Review new Federal, State, local, and tribal regulations and statutes
  - ☐ Identify other mandated and recommended exercises
    - ☐ Determine if required exercises from multiple agencies can be consolidated
  - ☐ Develop a consolidated list of exercise requirements

#### **STEP 4**

- ☐ **Identify legislative and/or political factors that may impact exercise priorities, e.g.:**
  - ✓ Election cycles
  - ✓ Pending legislation
  - ✓ Pending standards
  - ✓ Schedules of legislative sessions

#### **STEP 5**

- ☐ **Identify seasonal cycles that may require special exercises, e.g.:**
  - ✓ National / State / local / tribal events
  - ✓ Weather events (e.g., hurricanes, tornados)
  - ✓ Wildfires

#### **STEP 6**

- ☐ **Consolidate all information into one exercise priorities list**

**EXERCISE GUIDELINES**

**IV. Conducting an assessment to identify exercise priorities**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			
<b>STEP 4</b>			
<b>STEP 5</b>			
<b>STEP 6</b>			

## **EXERCISE GUIDELINES**

### **V. Developing an exercise approach**

To ensure progress toward achieving the goals of the State/Urban Area Homeland Security Strategy, the exercise POC should develop and regularly update an exercise approach.

#### **STEP 1**

- ☐ ***Establish a timeframe for developing or updating the exercise approach***

#### **STEP 2**

- ☐ ***Establish exercise goals based on the Strategy and identified exercise priorities***
  - ☐ Review goals and objectives of the State/Urban Area Homeland Security Strategy
  - ☐ Review exercise priorities identified from the exercise assessment

#### **STEP 3**

- ☐ ***Develop an approach to achieve exercise goals***
  - ☐ Review available funding resources and understand the budget for exercise activities
  - ☐ Facilitate planning and coordination of exercises among targeted stakeholders
    - ☐ Engage the exercise working group to plan and coordinate exercises
    - ☐ Identify stakeholders who should implement exercise activities
    - ☐ Assign responsibility for exercise implementation
  - ☐ Develop a consolidated, multi-year exercise schedule based on planned exercises
  - ☐ Disseminate schedule to exercise stakeholders

#### **STEP 4**

- ☐ ***Share the exercise approach and schedule with the homeland security program administrator(s) to influence budget allocations***

#### **STEP 5**

- ☐ ***Establish and document a schedule for updating the approach and communicate the schedule to exercise stakeholders***

**EXERCISE GUIDELINES**

**V. Developing an exercise approach**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			
<b>STEP 4</b>			
<b>STEP 5</b>			

## **EXERCISE GUIDELINES**

### **VI. Creating and managing an exercise budget**

When creating and managing the exercise budget, the exercise POC should use the State/Urban Area Homeland Security Strategy and priorities of the exercise approach, in coordination with the homeland security program administrator(s). The exercise POC should track expenditures against the budget.

#### **STEP 1**

- ☐ ***Establish a timeframe for developing the exercise budget***

#### **STEP 2**

- ☐ ***Review the exercise approach and the objectives of the State/Urban Area Homeland Security Strategy***

#### **STEP 3**

- ☐ ***Develop the budget based on the State/Urban Area Homeland Security Strategy and exercise approach***
  - ☐ Develop best and worst case scenario budgets in advance of funding allocations based on previous year budgets and likely funding estimates
  - ☐ Base budget allocations on the State/Urban Area Homeland Security Strategy and exercise priorities
  - ☐ Create the final budget based on the actual exercise allocation and other available funding

#### **STEP 4**

- ☐ ***Identify and understand financial management requirements***
  - ☐ Work with procurement officers, financial managers/accountants, auditors, and grant administrators and identify financial management requirements, e.g.:
    - ✓ Applicable OMB circulars
    - ✓ OJP OC Financial Guide
    - ✓ Procurement laws and regulations
    - ✓ State or local financial management requirements
    - ✓ Certified assurances
  - ☐ Review the schedule of all reporting requirements, timeframes, reporting agencies, etc., e.g.:
    - ✓ Required program reports
    - ✓ Required financial reports
    - ✓ Grant certifications and assurances
    - ✓ Funding deadlines and timeframes
    - ✓ The impact of delinquency on future funding and payments

**EXERCISE GUIDELINES**

**VI. Creating and managing an exercise budget**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			
<b>STEP 4</b>			

## **EXERCISE GUIDELINES**

### **VI. Creating and managing an exercise budget**

#### **STEP 5**

- ☐ ***Present the budget to homeland security program administrator(s) for monitoring purposes***

#### **STEP 6**

- ☐ ***Track funding expenditures against budgeted amounts and compare with stated priorities and goals***
  - ☐ Identify a central point of contact to monitor the budget and ongoing program expenditures on a regular basis
  - ☐ Develop a database/spreadsheet to track the following information regarding funding:
    - ✓ POC responsible for managing funds
    - ✓ Amount of funding award
    - ✓ Source of funding award (e.g., SHSP, LETPP, UASI, etc.)
    - ✓ Allowable funding expenditures
    - ✓ Conditions or restrictions on expenditures
    - ✓ Expenditures and draw down against funding source (e.g., procurements)
  - ☐ Complete program reports on a regular basis to ensure that expenditures have been tied to program performance and agreed upon deliverables/projects
  - ☐ Complete financial reports on a regular basis to ensure financial management compliance and appropriate allocation of funds to agreed upon deliverables/projects
  - ☐ Submit all completed reports to the program administrator(s)

**EXERCISE GUIDELINES**

**VI. Creating and managing an exercise budget**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 5</b>			
<b>STEP 6</b>			



## **EXERCISE GUIDELINES**

### **VII. Identifying staffing needs**

To ensure that all staffing needs are met, the exercise POC should identify the workload and communicate staffing needs to the homeland security program administrator(s).

#### **STEP 1**

- ☐ ***Establish a timeframe for identifying or updating staffing needs***

#### **STEP 2**

- ☐ ***Identify staff and skills needed to sustain exercise activities***
  - ☐ Review exercise activities as identified in the master exercise schedule
  - ☐ Identify administrative and operational staff and skills needed to implement the exercise program (e.g., exercise evaluators), including appropriate personnel to monitor grants
  - ☐ Consider the need for staff with security clearances

#### **STEP 3**

- ☐ ***Assess current staff availability***
  - ☐ Identify full-time and detailed, part-time staff available, including contractual support

#### **STEP 4**

- ☐ ***Identify staffing gaps***

#### **STEP 5**

- ☐ ***Communicate staffing needs to the homeland security program administrator(s) to determine if funding is available for staffing***

#### **STEP 6**

- ☐ ***Identify alternative methods to sustain staffing***
  - ☐ Consider other Federal, State, local, and tribal funding sources as well as volunteers, interns, etc.

**EXERCISE GUIDELINES**

**VII. Identifying staffing needs**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			
<b>STEP 4</b>			
<b>STEP 5</b>			
<b>STEP 6</b>			

## **EXERCISE GUIDELINES**

### **VIII. Identifying non-monetary resources and promising practices to support exercises**

To enhance the implementation of exercise activities, the exercise POC should identify non-monetary resources and promising practices.

#### **STEP 1**

- ☐ ***Establish a timeframe for identifying non-monetary resources and promising practices to support exercises***

#### **STEP 2**

- ☐ ***Identify non-monetary resources and promising practices to support exercises, e.g.:***
  - ✓ Exercise resources and promising practices from within the State and from other States/regions
  - ✓ Exercise resources and promising practices from professional organizations and associations (e.g., NEMA, NGA)
  - ✓ Exercise resources and promising practices from Federal partners and agencies, e.g.:
    - CDC
    - FEMA
    - ODP (e.g., HSAP, LLIS, RKB)

#### **STEP 3**

- ☐ ***Document each resource and promising practice***
  - ☐ Identify the following types of information for each resource:
    - ✓ Resource type, e.g.:
      - Equipment
      - Exercise training courses (e.g., EMI)
      - Guidance document
      - In-kind support
      - Materials from previously conducted exercises
      - Mutual aid agreements
      - Technical Assistance
      - Technology
      - Website / portal
    - ✓ Associated costs
    - ✓ Contact information to obtain the resource
    - ✓ Description of how the resource can be used in exercise activities
  - ☐ Identify the following types of information for the promising practices:
    - ✓ When and how to implement the promising practice
    - ✓ Benefits
    - ✓ Point of contact to learn more information

**EXERCISE GUIDELINES**

**VIII. Identifying non-monetary resources and promising practices to support exercises**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			

## **EXERCISE GUIDELINES**

### **VIII. Identifying non-monetary resources and promising practices to support exercises**

#### **STEP 4**

- ☐ ***Distribute the resource information to exercise stakeholders***
  - ☐ Identify administrative and operational exercise stakeholders who should receive the information
    - ☐ Consider stakeholders from all jurisdictions and disciplines involved in exercises
  - ☐ Determine a method for dissemination, e.g.:
    - ✓ Post on website
    - ✓ Email
    - ✓ Hard copy

**EXERCISE GUIDELINES**

**VIII. Identifying non-monetary resources and promising practices to support exercises**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 4</b>			

## **EXERCISE GUIDELINES**

### **IX. Incorporating legal and programmatic policies, requirements, standards, and regulations that impact exercises**

To ensure that exercise activities are in compliance with legal and programmatic policies, requirements, standards, and regulations, the exercise POC should understand and have a record of all legal and programmatic policies, requirements, standards, and regulations that impact exercises.

#### **STEP 1**

- ☐ ***Collect information regarding legal and programmatic policies, requirements, standards, and regulations from the homeland security program administrator(s)***

#### **STEP 2**

- ☐ ***Determine which laws, statutes, policies, requirements, standards, and regulations affect exercises***
  - ☐ Review the legal and programmatic policies, requirements, standards and regulations information provided by the homeland security program administrator(s), e.g.:
    - ✓ CIPP
    - ✓ EMAP
    - ✓ HSEEP
    - ✓ HSGP grant guidance
    - ✓ HSPD-5
    - ✓ HSPD-7
    - ✓ HSPD-8
    - ✓ JCAHO
    - ✓ LETPP
    - ✓ National Planning Scenarios
    - ✓ National Preparedness Goal
    - ✓ National Preparedness Guidance
    - ✓ National Priorities
    - ✓ NFPA
    - ✓ NIMS
    - ✓ NRP
    - ✓ OJP OC Financial Guide
    - ✓ OMB Circulars
    - ✓ Target Capabilities List
    - ✓ Universal Task List

**EXERCISE GUIDELINES**

**IX. Incorporating legal and programmatic policies, requirements, standards, and regulations that impact exercises**

	POC Responsible for Completion	Complete by:	Other Notes
STEP 1			
STEP 2			



## EXERCISE GUIDELINES

### IX. Incorporating legal and programmatic policies, requirements, standards, and regulations that impact exercises

#### STEP 3

☐ **Create a spreadsheet and document specific sections that impact exercises, e.g.:**

- ✓ Page numbers/website addresses of relevant sections
- ✓ Critical activities and dates which the laws, statutes, policies, requirements, standards, and regulations impact
- ✓ POCs for questions regarding the policies, requirements, standards, and regulations

#### STEP 4

☐ **Identify and document any additional exercise-specific laws, policies, requirements, standards, and regulations, e.g.:**

- ✓ Coast Guard
- ✓ Contractor / vendor laws and regulations
- ✓ FAA
- ✓ NFPA
- ✓ NIOSH
- ✓ OSHA
- ✓ Procurement laws and regulations
- ✓ TSA

#### STEP 5

☐ **Disseminate the legal and programmatic information to exercise stakeholders**

- ☐ Identify administrative and operational exercise stakeholders who should receive the information
  - ☐ Consider stakeholders from all jurisdictions and disciplines involved in exercises
- ☐ Determine a method for dissemination, e.g.:
  - ✓ Post on website
  - ✓ Email
  - ✓ Hard copy

#### STEP 6

☐ **Monitor new laws, statutes, policies, requirements, standards, and regulations**

- ☐ Collaborate with existing monitoring efforts (e.g., Inspector General)
- ☐ Develop a schedule for reviewing new and/or amended laws, statutes, policies, requirements, standards and regulations
- ☐ Work with a State, local, or tribal legal department, officer, or attorney to review and understand new and/or amended laws, statutes, policies, requirements, standards and regulations
- ☐ Update legal and programmatic information as needed and disseminate to stakeholders

**EXERCISE GUIDELINES**

**IX. Incorporating legal and programmatic policies, requirements, standards, and regulations that impact exercises**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 3</b>			
<b>STEP 4</b>			
<b>STEP 5</b>			
<b>STEP 6</b>			

## EXERCISE GUIDELINES

### X. Integrating HSEEP

To ensure that exercise activities comply with HSEEP doctrine and policy, the exercise POC should ensure that key stakeholders are trained in HSEEP doctrine and policy.

#### STEP 1

☐ **Identify a central point of contact to become familiar with HSEEP doctrine and policy**

- ☐ Utilize ODP resources for HSEEP education, e.g.:
  - ✓ Available training
  - ✓ CSID
  - ✓ HSEEP toolkit
  - ✓ Secure Portal

#### STEP 2

☐ **Conduct HSEEP training workshops and teach stakeholders how to use HSEEP**

- ☐ Coordinate with Federal exercise program managers and schedule HSEEP training workshops
- ☐ Identify and invite key stakeholders from the surrounding jurisdictions and regions involved in planning, designing, conducting, and evaluating exercises

#### STEP 3

☐ **Establish regular and frequent communication with Federal exercise program managers**

**EXERCISE GUIDELINES**

**X. Integrating HSEEP**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			

## EXERCISE GUIDELINES

### XI. Tracking exercise data for performance evaluation and reporting

To aid in measuring performance and in creating reports, the exercise POC should track exercise data.

#### STEP 1

☐ **Identify data that should be tracked to evaluate the management of exercise activities**

- ☐ Work with the homeland security program administrator(s) and identify data that should be tracked for evaluations and reports, e.g.:
  - ✓ Volunteers and their skills
  - ✓ Exercise participants
  - ✓ Dates and locations of exercises
  - ✓ POCs for scheduled and completed exercises
  - ✓ Exercise requirements that have been satisfied
  - ✓ Post-exercise reports and evaluations (e.g., AARs and Improvement Plans)
- ☐ Review the State/Urban Area Homeland Security Strategy and identify data that should be tracked to evaluate performance (e.g., spending against requirements, Strategy, etc.)
- ☐ Review programmatic policies, requirements, standards, and regulations and identify specific exercise data that should be tracked to evaluate performance
- ☐ Coordinate with administrative staff (e.g., financial management staff) and determine data that should be tracked to evaluate performance
- ☐ Track exercise contractor data, e.g.:
  - ✓ Name and contact information
  - ✓ Exercise expertise
  - ✓ Ability to meet HSEEP baseline expectations/standards
  - ✓ Previous experience/engagements
  - ✓ Contract mechanisms (e.g., availability through Blanket Purchase Agreements)
  - ✓ References
  - ✓ Qualifications/credentials
  - ✓ Performance reports and evaluations
  - ✓ Scheduling procedures and availability

#### STEP 2

☐ **Establish a process to track data**

- ☐ Identify a central point of contact to collect data for the homeland security tracking system
- ☐ Coordinate with the homeland security program administrator(s) and establish a timeframe for updating exercise data in the tracking system
- ☐ Develop a schedule to ensure exercise data is updated with changes

#### STEP 3

☐ **Understand and comply with reporting deadlines (e.g. Federal, State, local, and tribal)**

**EXERCISE GUIDELINES**

**XI. Tracking exercise data for performance evaluation and reporting**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			

## **EXERCISE GUIDELINES**

### **XII. Evaluating the management of exercise activities**

To identify performance gaps and ways to improve the management of exercise activities, the exercise POC should measure performance through evaluations on a regular basis.

#### **STEP 1**

##### **☐ Establish criteria for evaluating the management of exercise activities**

- ☐ Review the State/Urban Area Homeland Security Strategy for evaluation requirements and potential evaluation criteria
- ☐ Solicit input from multiple exercise stakeholders and develop criteria, e.g.:
  - ✓ Progress toward meeting exercise goals
  - ✓ Efforts to address previous exercise performance gaps
  - ✓ Efforts to complete exercises according to schedule
  - ✓ Coordination and communication between planning, equipment, training, and exercise stakeholders
  - ✓ Ability to meet budget
  - ✓ Ability to track exercise finances
  - ✓ Ability to track exercise data
  - ✓ Ability to maintain staffing levels and skills
  - ✓ Compliance with legal and programmatic policies, requirements, standards, and regulations
  - ✓ Ability to generate necessary reports

#### **STEP 2**

##### **☐ Establish a timeframe for conducting evaluations**

- ☐ Review requirements and establish a schedule for evaluating management performance
- ☐ Document and communicate the schedule to exercise stakeholders

#### **STEP 3**

##### **☐ Collect data needed for the performance evaluation**

- ☐ Develop a standard approach for soliciting input (e.g., surveys, interviews, etc.)

**EXERCISE GUIDELINES**

**XII. Evaluating the management of exercise activities**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			



## **EXERCISE GUIDELINES**

### **XII. Evaluating the management of exercise activities**

#### **STEP 4**

##### **☐ Evaluate data**

- ☐ Engage the exercise working group to review data
- ☐ Determine if the exercise management criteria were met, e.g.:
  - ✓ Made significant progress toward increasing capabilities through exercises
  - ✓ Addressed previous exercise performance gaps
  - ✓ Completed exercises according to schedule
  - ✓ Ensured coordination and communication with planning, equipment, and training stakeholders and met their needs for exercises (e.g., shared corrective action plans with planning, equipment, and training POCs)
  - ✓ Met the budget
  - ✓ Successfully tracked finances
  - ✓ Successfully tracked and applied exercise data
  - ✓ Maintained necessary staffing levels
  - ✓ Complied with legal and programmatic policies, requirements, standards, and regulations
  - ✓ Generated necessary reports

#### **STEP 5**

- ☐ **Analyze evaluation results, document performance gaps, and share information with the homeland security program administrator(s) to aid in the overall program evaluation**

#### **STEP 6**

##### **☐ Develop a plan to address performance gaps**

- ☐ Create a task list, timeframe, and assign responsibilities for addressing performance gaps

#### **STEP 7**

- ☐ **Share evaluation results with key stakeholders who will be involved in subsequent year planning**

**EXERCISE GUIDELINES**

**XII. Evaluating the management of exercise activities**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 4</b>			
<b>STEP 5</b>			
<b>STEP 6</b>			
<b>STEP 7</b>			

## **EXERCISE GUIDELINES**

### **XIII. Evaluating exercise contractors**

To help ensure that contractors are providing effective services and products, the exercise POC should evaluate the performance of contractors and document the findings for future reference.

#### **STEP 1**

- ☐ ***Establish a timeframe for evaluating exercise contractors***

#### **STEP 2**

- ☐ ***Identify a central point of contact to evaluate exercise contractors***

#### **STEP 3**

- ☐ ***Establish contractor evaluation criteria***
  - ☐ Work with the homeland security program administrator(s) and the exercise working group and establish criteria, e.g.:
    - ✓ Exercise quality
    - ✓ Ability to meet HSEEP requirements
    - ✓ Performance according to schedule
    - ✓ Ability to remain within budget
    - ✓ Overall client satisfaction with performance

#### **STEP 4**

- ☐ ***Conduct evaluations***
  - ☐ Engage the exercise working group to conduct evaluations
  - ☐ Determine if contractors met criteria, e.g.:
    - ✓ Conducted high quality exercises
    - ✓ Complied with HSEEP requirements, including completion of post-exercise reports
    - ✓ Met schedule and deadlines
    - ✓ Remained within budget
    - ✓ Satisfied client needs

#### **STEP 5**

- ☐ ***Document performance gaps and/or strengths and communicate them to the homeland security program administrator(s) to aid in the overall program evaluation***

#### **STEP 6**

- ☐ ***Share information with stakeholders who will need future contract services***

**EXERCISE GUIDELINES**

**XIII. Evaluating exercise contractors**

	POC Responsible for Completion	Complete by:	Other Notes
<b>STEP 1</b>			
<b>STEP 2</b>			
<b>STEP 3</b>			
<b>STEP 4</b>			
<b>STEP 5</b>			
<b>STEP 6</b>			



Use these working calendars to create and track exercise milestones and deadlines.

January

Sunday					
Monday					
Tuesday					
Wednesday					
Thursday					
Friday					
Saturday					

# February

Sunday						
Monday						
Tuesday						
Wednesday						
Thursday						
Friday						
Saturday						

# March

Sunday						
Monday						
Tuesday						
Wednesday						
Thursday						
Friday						
Saturday						



### Exercise Calendar-4

# May

[illegible]

### Exercise Calendar-6

## July

Sunday						
Monday						
Tuesday						
Wednesday						
Thursday						
Friday						
Saturday						

[illegible]

# September

[illegible]

### Exercise Calendar-10

# November

[illegible]



[illegible]

# ODP and Other Resources Available to Support Exercises

Resource	Access	Brief Description
<b>Contacts</b>		
Centralized Scheduling and Information Desk (CSID)	The CSID toll-free number is 800-368-6498. The On-Site Call Desk is staffed weekdays from 8:00 a.m. to 7:00 p.m. Eastern Standard Time. On weekends, holidays, and after business hours, callers can leave a voice message. CSID support is also accessible via email at askcsid@dhs.gov.	The CSID is a one-stop-shop for information on homeland security terrorism preparedness events for the federal, state, and local communities. In addition, the CSID schedules ODP training with the emergency responder community and maintains interagency homeland security exercise schedules. The CSID provides a critical tool to the federal agencies in coordinating, consolidating, and monitoring Federal homeland security terrorism preparedness events in the United States.
<b>Technical Assistance</b>		
Homeland Security Preparedness Technical Assistance Program	<p>ODP technical assistance is provided without charge to eligible states and/or local jurisdictions. For information on the Homeland Security Preparedness Technical Assistance Program, call the ODP Help Line at (800) 368-6498 or email askcsid@dhs.gov.</p> <p>ODP is pleased to announce the availability of the Homeland Security Preparedness Technical Assistance Program Catalog at the following web address:  <a href="http://www.ojp.usdoj.gov/odp/docs/ODP_TA_Catalog.pdf">http://www.ojp.usdoj.gov/odp/docs/ODP_TA_Catalog.pdf</a></p> <p>If you are unable to download the catalog, you may request a copy of the catalog by contacting the ODP Centralized Scheduling and Information Desk (CSID).</p>	<p>ODP's Homeland Security Preparedness Technical Assistance (TA) Program provides direct assistance to state and local jurisdictions to improve their ability to prevent, respond to, and recover from threats or acts of terrorism involving chemical, biological, radiological, nuclear, or explosive (CBRNE) weapons. TA provides a process to help resolve a problem and/or create innovative approaches. All TA services are available to eligible recipients at no charge.</p> <p>TA programs in place or currently under development within ODP include:</p> <ul style="list-style-type: none"> <li>■ <b>Enhancing Grants Management Capacities of State Administrative Agencies</b></li> <li>■ <b>Homeland Security Assessment and Strategy Technical Assistance</b></li> <li>■ <b>Initial Strategy Implementation Plan (ISIP) Technical Assistance</b></li> <li>■ <b>Domestic Preparedness Equipment Technical Assistance Program (DPETAP)</b></li> <li>■ <b>Terrorism Early Warning Group Replication</b></li> <li>■ <b>Interoperable Communication Technical Assistance Program (ICTAP)</b></li> <li>■ <b>Port and Mass Transit Planning Technical Assistance</b></li> <li>■ <b>Rapid Assistance Team Technical Assistance</b></li> <li>■ <b>General Technical Assistance</b></li> <li>■ <b>Prevention Technical Assistance</b></li> <li>■ <b>Plans and Planning Synchronization Technical Assistance</b></li> </ul>

Resource	Access	Brief Description
<b>Guidance &amp; Documents</b>		
Homeland Security Exercise and Evaluation Program (HSEEP)	<p>HSEEP volumes are available at the following web address:  <a href="http://www.ojp.usdoj.gov/odp/docs/hseep.htm">http://www.ojp.usdoj.gov/odp/docs/hseep.htm</a></p> <p>Volume IV materials are only available through the ODP Secure Portal. To gain access to the ODP Secure Portal, please call 1-800-368-6498.</p>	<p>The Homeland Security Exercise and Evaluation Program (HSEEP) is both doctrine and policy for designing, developing, conducting and evaluating exercises. HSEEP is a threat- and performance-based exercise program that includes a cycle, mix and range of exercise activities of varying degrees of complexity and interaction.</p> <p>HSEEP includes a series of four reference manuals to help states and local jurisdictions establish exercise programs and design, develop, conduct, and evaluate exercises:</p> <ul style="list-style-type: none"> <li>■ Volume I: Overview and Doctrine (Revised)</li> <li>■ Volume II: Exercise Evaluation and Improvement</li> <li>■ Volume III: Exercise Program Management and Exercise Planning Process</li> <li>■ Volume IV: Sample Exercise Documents and Formats</li> </ul>
Models, Simulations, and Games (MS&G)	<p><b>REVIEWS</b></p> <p>Models, Simulations, and Games reviews can be accessed through the following web address:  <a href="http://www.ojp.usdoj.gov/odp/exercises.htm">http://www.ojp.usdoj.gov/odp/exercises.htm</a></p> <p><b>MS&amp;G JUSTIFICATION FORM</b></p> <p>The MS&amp;G justification form can be accessed through the following web address:  <a href="http://www.ojp.usdoj.gov/odp/docs/MSGform.doc">http://www.ojp.usdoj.gov/odp/docs/MSGform.doc</a></p>	<p><b>REVIEWS</b></p> <p>One hundred Models, Simulations, and Games (MS&amp;G) were reviewed for their ability to support domestic preparedness training and exercising (T&amp;E). For each product, the review considered the product's functionality from a T&amp;E perspective, its hardware and software requirements, and cost. Product functionality was compared to key T&amp;E attributes that were summarized from over 1100 T&amp;E requirements. Various reports were created from this review:</p> <ul style="list-style-type: none"> <li>■ Review of Models, Simulations, and Games (MS&amp;G) Volume III</li> <li>■ Review of Models, Simulations, and Games (MS&amp;G) Slim Version</li> <li>■ Abbreviated Product Reviews</li> <li>■ Full Product Reviews</li> </ul> <p><b>MS&amp;G JUSTIFICATION FORM</b></p> <p>If you are purchasing an MS&amp;G product using HSGP funding, please fill out this form to describe the model, simulation, or game you agency intends to purchase, and describe how it will support your exercise program.</p>

Resource	Access	Brief Description
<b>Guidance &amp; Documents</b>		
ODP Online Library	The ODP Online Library can be accessed through the following web address: <a href="http://www.ojp.usdoj.gov/odp/library/bulletins.htm">http://www.ojp.usdoj.gov/odp/library/bulletins.htm</a>	The ODP Online Library offers access to various guidance, documents, and other materials that can provide information and assist state and local jurisdictions in improving their ability to prevent, respond to, and recover from threats or acts of terrorism. The Library contains the following types of resources: <ul style="list-style-type: none"> <li>■ Course Catalogs</li> <li>■ Information Bulletins</li> <li>■ Fact Sheets (Consortium Members and General)</li> <li>■ Training</li> <li>■ Reference Documents</li> <li>■ Presidential Decision Directives</li> <li>■ Grant Guidance and Information</li> </ul>
<b>Tools/Programs</b>		
Lessons Learned Information Sharing (LLIS)	The LLIS network can be accessed through the following web address: <a href="https://www.llis.dhs.gov/">https://www.llis.dhs.gov/</a>	The Lessons Learned Information Sharing (LLIS) is a national, online network of best practices and lessons learned designed to help homeland security responders, planners, and healthcare professionals prevent, prepare for, and respond to terrorism.
National Programs portal	The National Programs portal can be accessed through the following web address: <a href="http://www.ojp.usdoj.gov/odp/assessments/hspd8.htm">http://www.ojp.usdoj.gov/odp/assessments/hspd8.htm</a>	The National Programs portal provides information and links for the following National Programs: <ul style="list-style-type: none"> <li>■ National Incident Management System</li> <li>■ National Response Plan</li> <li>■ National Preparedness Goal</li> <li>■ Capabilities-Based Planning Tools (National Planning Scenarios, Target Capabilities List, Universal Task List)</li> <li>■ Homeland Security Grant Program Guidance</li> <li>■ National Preparedness Guidance</li> </ul>
USDHS/ODP Extranet Secure Portal (ESP)	For technical questions on the use of the portal, a help desk is available at (804) 744-8800 or via email at <a href="mailto:helpdesk@espgroup.net">helpdesk@espgroup.net</a> . For substantive programmatic information and questions, please contact the ODP Centralized Scheduling and Information Desk (CSID).	The USDHS/ODP Extranet Secure Portal provides a mechanism to coordinate the scheduling of training and exercises and share exercise information with state and local jurisdictions.

Resource	Access	Brief Description
	Other Resources	
Citizen Corps	Information pertaining to Citizen Corps can be accessed through the following web address: <a href="http://www.citizencorps.gov">http://www.citizencorps.gov</a> .	Citizen Corps is the Department of Homeland Security's program with the mission to harness the power of every individual through education, training, and volunteer service to make communities safer, stronger, and better prepared to respond to the threats of terrorism, crime, public health issues, and disasters of all kinds. The Citizen Corps mission is accomplished through a national network of state, local, and tribal Citizen Corps Councils. These Councils build on community strengths to implement the Citizen Corps programs and will carry out a local strategy to have every American participate. Citizen Corps Councils are referenced in the Volunteer and Donations Management Support Annex of the National Response Plan as the vehicle individuals interested in volunteering personal services should use to get involved. Councils are also referenced as an example of an unaffiliated volunteers managing organization. As such, it is important to include citizens in exercises and to coordinate the use of citizens through state and local Citizen Corps Councils.
Federal Emergency Management Agency (FEMA)	FEMA can be accessed through the following web address: <a href="http://www.fema.gov">http://www.fema.gov</a>	
Office of Justice Programs Financial Guide	Office of Justice Programs Financial Guide can be accessed through the following web address: <a href="http://www.ojp.usdoj.gov/FinGuide/">http://www.ojp.usdoj.gov/FinGuide/</a>	
Office of Management and Budget (OMB)	OMB circulars can be accessed through the following web address: <a href="http://www.whitehouse.gov/omb/circulars/index.html">http://www.whitehouse.gov/omb/circulars/index.html</a>	

## Identifying Stakeholders – Sample Templates

Administrative Stakeholders with Direct Involvement	
Stakeholder Name	▶
Office / Organization / Agency / Etc.	▶
Phone	▶
Fax	▶
Area of Expertise	▶
Capability or Service Offering	▶
Activities in Which Stakeholder Should be Involved	▶
Type of Information Stakeholder Should Receive	▶

These sample templates show the types of categories that may be helpful to consider when identifying and tracking stakeholders

Operational Stakeholders with Direct Involvement	
Stakeholder Name	▶
Office / Organization / Agency / Etc.	▶
Phone	▶
Fax	▶
Area of Expertise	▶
Capability or Service Offering	▶
Activities in Which Stakeholder Should be Involved	▶
Type of Information Stakeholder Should Receive	▶

<b>First Responder Discipline Stakeholders</b>		
Discipline	▶ Emergency Management, e.g.	
Stakeholder Type (check one)	<input type="checkbox"/> Head official of Federal, State, local, and tribal emergency management agencies, departments, organizations, etc. <input type="checkbox"/> Program and / or operational manager with Federal, State, local, and tribal emergency management agencies, departments, organizations, etc. <input type="checkbox"/> Administrative POC with Federal, State, local, and tribal emergency management agencies, departments, organizations, etc. <input type="checkbox"/> First responder POC with Federal, State, local, and tribal emergency management agencies, departments, organizations, etc.	
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	▶ Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	▶ Information Stakeholder has Received

<b>Public Officials who Impact Homeland Security</b>		
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	▶ Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	▶ Information Stakeholder has Received

Private Sector Stakeholders		
Discipline	▶ Emergency Management, e.g.	
Stakeholder Type (check one)	<input type="checkbox"/> Private Sector Leader <input type="checkbox"/> Private Sector Industry POC <input type="checkbox"/> Private Sector Enterprise POC <input type="checkbox"/> Other	
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	▶ Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	▶ Information Stakeholder has Received

Stakeholders from Private Volunteer Organizations		
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	▶ Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	▶ Information Stakeholder has Received



<b>Academia Stakeholders</b>		
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	Information Stakeholder has Received

<b>Stakeholders from Non-governmental Organizations</b>		
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	Information Stakeholder has Received

Stakeholders from Federally Sponsored Volunteer Programs		
Stakeholder Name	▶	
Office / Organization / Agency / Etc.	▶	
Phone	▶	
Fax	▶	
Area of Expertise	▶	
Capability or Service Offering	▶	
Activities in Which Stakeholder Should be Involved	▶	Activities Which Stakeholder has been Involved In
Type of Information Stakeholder Should Receive	▶	Information Stakeholder has Received



# Communicating with Stakeholders – Sample Planning Document

Identify Stakeholders	Map Stakeholders to Communication Objectives	Determine Optimal Communication Method	Establish Schedule For Communication
<p><b>Think about this...</b></p> <p>► Which stakeholders need to be included in the communication plan?</p>	<p>► What information does this stakeholder need to hear?</p> <p>► What information needs to be gathered from this stakeholder?</p>	<p>► What method should be used to deliver information?</p> <p>► Who will deliver the information?</p> <p>► What method should be used to collect information?</p> <p>► Who will collect the information?</p>	<p>► What is the appropriate timing for information sharing?</p>
<p><b>Activities</b></p> <p>► Identify which stakeholders should be included in the communication plan</p> <p>It may be helpful to reference the list of stakeholders that was developed</p>	<p>► Group stakeholders according to similar information needs and communication objectives</p> <p>Consider the example objectives provided in the Handbook</p>	<p>► Determine methods for communication, e.g.:</p> <ul style="list-style-type: none"> <li>– Homeland security program newsletter or mailings</li> <li>– SAA website</li> <li>– Stakeholder and / or partner organization websites</li> <li>– State or regional conferences</li> <li>– Conference calls</li> <li>– Email</li> <li>– Attendance at working group meetings</li> </ul> <p>► Assign optimal methods to each stakeholder based on categories of information needs</p> <p>► Assign ownership of communication</p>	<p>► Establish a timeframe for two-way communication</p> <p>► Establish a timeframe for developing and maintaining publications / postings</p>
<p><b>Products</b></p> <p>► List of stakeholders</p>	<p>► List of stakeholders grouped by information needs</p>	<p>► List of stakeholders with corresponding communication methods</p>	<p>► Communication plan that includes stakeholders, responsibilities, and timelines</p>

Stakeholders	Communication Objectives & Information Needs	Communication Method	POC / Owner Responsible for Communication	Timeframe

This sample template shows the types of information, and a practical layout, that may be helpful to consider when documenting a communication plan

***Terms have been defined within the context of their use in the Handbook.***

Acronym/Term	Description
<b><i>Handbook Terms</i></b>	
<b>Administrative Staff</b>	Staff that are involved with daily financial management, reporting, records retention, and other administrative functions related to grant management
<b>Blanket Purchase Agreement</b>	A written instrument of understanding between two parties for filling anticipated repetitive needs for supplies or services by establishing “charge accounts” – Blanket Purchase Agreements reduce administrative costs by eliminating the need for issuing individual purchase, invoice and payment documents
<b>Detailed Staff</b>	Staff that have been selected and dispatched for temporary assignments
<b>Discipline</b>	A field of study or occupation as related to homeland security and / or public service, e.g.: emergency management, emergency medical service, fire service, government administrative, hazardous material, health care, law enforcement, public communications, public health, public works
<b>Inventory Management Regulations</b>	Principles, rules, or codes governing the managing, cataloging, procurement, distribution, etc. of inventoried goods
<b>Milestone</b>	A key target, or an important intermediate event or output, that indicates successful progress toward completing the project or task
<b>Non-monetary Resource</b>	A source of aid or support such as equipment, supplies, or other property that is distinct from monetary grants
<b>Operational Staff</b>	Staff that are involved with the programmatic requirements and functions associated with grants, e.g.: planning, equipment, training, and exercise related functions
<b>Performance Gap</b>	The difference between actual performance and the desired standard for performance
<b>Stakeholder</b>	An individual or entity with a vested interest in the homeland security program or the grant process
<b>Subgrantee</b>	An entity that has a formal financial arrangement with the grantee to receive grant funds (usually a local entity)
<b>Sustainability</b>	The ability to use current resources to ensure the ongoing implementation and support a of program over time
<b>Working Group</b>	A group of stakeholders that is convened regularly to accomplish homeland security program-related goals and objectives

Acronym/Term	Description
<i>ODP Terms</i>	
<b>AAR</b>	After Action Report; the report written after each exercise to document results and then is used to develop a jurisdiction's Improvement Plan (IP), which converts lessons learned from the exercise into concrete, measurable steps that result in improved response capabilities
<b>AEL</b>	Authorized Equipment List; the list that identifies the specific types of equipment authorized for purchase under the Homeland Security Grant Program
<b>CSID</b>	Centralized Scheduling and Information Desk; a one-stop-shop for information on homeland security terrorism preparedness events for the Federal, State, and local communities
<b>HSAP</b>	Homeland Security Assistance Program; a program that helps State and urban area grantees identify federal resources that can be used to help them implement Homeland Security Strategies
<b>HSEEP</b>	Homeland Security Exercise and Evaluation Program; doctrine and policy for designing, developing, conducting and evaluating exercises; HSEEP is a threat- and performance-based exercise program that includes a cycle, mix and range of exercise activities of varying degrees of complexity and interaction
<b>HSGP</b>	Homeland Security Grant Program; a consolidated grant program that integrates the State Homeland Security Program, the Urban Areas Security Initiative, the Law Enforcement Terrorism Prevention Program, the Citizen Corps Program, the Emergency Management Performance Grants, and the Metropolitan Medical Response System Program Grants into one grant to better facilitate the coordination and management of preparedness funding, and will be guided by the State and Urban Area Homeland Security Strategies
<b>HSPD-8</b>	Homeland Security Presidential Directive-8; a directive that establishes policies to strengthen the preparedness of the United States to prevent and respond to threatened or actual domestic terrorist attacks, major disasters, and other emergencies by requiring a national domestic all-hazards preparedness goal, establishing mechanisms for improved delivery of Federal preparedness assistance to State and local governments, and outlining actions to strengthen preparedness capabilities of Federal, State, and local entities
<b>LETPP</b>	Law Enforcement Terrorism Prevention Program; a program that provides federal funds to assist state and local law enforcement agencies in preventing and responding to potential acts of terrorism
<b>LLIS</b>	Lessons Learned Information Sharing; a national, online network of best practices and lessons learned designed to help homeland security responders, planners, and healthcare professionals prevent, prepare for, and respond to terrorism
<b>National Planning Scenarios</b>	Planning documents that provide parameters for 15 terrorist attacks and natural disasters, providing the basis to define prevention, protection, response and recovery tasks, and the capabilities required to perform them

Acronym/Term	Description
<i>ODP Terms</i>	
<b>National Preparedness Goal</b>	A national goal that establishes measurable readiness priorities and targets that appropriately balance the potential threat and magnitude of terrorist attacks, major disasters, and other emergencies with the resources required to prevent, respond to, and recover from them
<b>National Preparedness Guidance</b>	Guidance that helps states implement the national strategies outlined in Homeland Security Presidential Directive 8 (HSPD-8) by providing a new framework for jurisdictions to assess their level of preparedness
<b>NIMS</b>	National Incident Management System; the NIMS provides a consistent framework for incident management at all jurisdictional levels regardless of the cause, size or complexity of the incident and provides the nation's first responders and authorities with the same foundation for incident management for terrorist attacks, natural disasters and other emergencies
<b>NRP</b>	National Response Plan; an all-discipline, all-hazards plan for the management of domestic incidents that provides the structure and mechanisms to coordinate and integrate incident management activities and emergency support functions across Federal, State, local and tribal government entities, the private sector and non-governmental organizations
<b>ODP</b>	Office for Domestic Preparedness; the principal component of the Department of Homeland Security responsible for preparing the United States for acts of terrorism
<b>PO</b>	Preparedness Officer
<b>RKB</b>	Responder Knowledge Base; the RKB provides emergency responders with a single source for integrated information on available equipment, equipment certification and standards, equipment training, cost resources, and reviews from other equipment users
<b>SAA</b>	State Administrative Agency; the agency designated to apply for and administer the funds under HSGP; the SAA is the only agency eligible to apply for HSGP funds and is responsible for obligating HSGP funds to local units of government and other designated recipients
<b>Senior Advisory Committee</b>	The entity of senior officials overseeing assistance programs from ODP, CDC, HRSA, and other federal agencies providing homeland security assistance; their purpose is to enhance the integration of disciplines involved in homeland security, including public health and medical initiatives
<b>TA</b>	Technical Assistance; direct assistance to state and local jurisdictions to improve their ability to prevent, respond to, and recover from threats or acts of terrorism involving chemical, biological, radiological, nuclear, or explosive (CBRNE) weapons; TA provides a process to help resolve a problem and/or create innovative approaches



Acronym/Term	Description
<b><i>ODP Terms</i></b>	
<b>TCL</b>	Target Capabilities List; a list and description of the capabilities needed to perform critical homeland security tasks found in the Universal Task List
<b>UASI</b>	Urban Areas Security Initiative; a program to address the unique needs of high-threat, high-density urban areas; the initiative includes an urban area assessment and strategy component which will be used by ODP and the Urban Area Working Group (UAWG) to both allocate grant funding and guide delivery of direct services in the form of planning, equipment, training, exercises, and technical assistance
<b>UAWG</b>	Urban Area Working Group; the entity responsible for coordinating development and implementation of all program initiatives for urban areas, including the urban area strategy development, the methodology for the allocation of funds (in coordination with the SAA), and any direct services that are delivered by ODP
<b>UTL</b>	Universal Task List; a reference tool that provides a comprehensive menu of tasks to be performed by different disciplines at all levels of government to address major events

Acronym/Term	Description
<i>Other Acronyms</i>	
<b>AHRQ</b>	Agency for Healthcare Research and Quality
<b>CCG</b>	Center for Competitive Government
<b>CDC</b>	Center for Disease Control and Prevention
<b>CIPP</b>	Critical Infrastructure Protection Priorities
<b>COOP</b>	Continuity of Operations
<b>EMAP</b>	Emergency Management Accreditation Program
<b>EMI</b>	Emergency Management Institute
<b>FAA</b>	Federal Aviation Administration
<b>FOIA</b>	Freedom of Information Act
<b>FTE</b>	Full Time Equivalency
<b>HRSA</b>	Health Resources and Services Administration
<b>JCAHO</b>	Joint Council on Accreditation of Healthcare Organizations
<b>LEP</b>	Limited English Proficient
<b>NEMA</b>	National Emergency Management Association
<b>NFPA</b>	National Fire Protection Association
<b>NGA</b>	National Governors Association
<b>NIOSH</b>	National Institute for Occupational Safety and Health
<b>NIPP</b>	National Infrastructure Protection Plan
<b>OC</b>	Office of the Comptroller
<b>OJP</b>	Office of Justice Programs
<b>OMB</b>	Office of Management and Budget
<b>OSHA</b>	Occupational Safety and Health Organization
<b>POC</b>	Point of Contact
<b>TSA</b>	Transportation Security Administration
<b>USDA</b>	United States Department of Agriculture

